



HEALTH QUARTERLY STATEMENT

AS OF SEPTEMBER 30, 2016  
OF THE CONDITION AND AFFAIRS OF THE

Humana Health Plan, Inc.

NAIC Group Code01190119NAIC Company Code95885Employer's ID Number61-1013183  
(Current)(Prior)

Organized under the Laws ofKentucky, State of Domicile or Port of EntryKentucky

Country of DomicileUnited States of America

Licensed as business type:Health Maintenance Organization

Is HMO Federally Qualified? Yes [ X ] No [ ]

Incorporated/Organized08/23/1982Commenced Business09/23/1983

Statutory Home Office321 West Main Street - 12th FloorLouisville , KY, US 40202  
(Street and Number)(City or Town, State, Country and Zip Code)

Main Administrative Office321 West Main Street - 12th FloorLouisville , KY, US 40202502-580-1000  
(Street and Number)(City or Town, State, Country and Zip Code)(Area Code) (Telephone Number)

Mail AddressP.O. Box 740036Louisville , KY, US 40201-7436  
(Street and Number or P.O. Box)(City or Town, State, Country and Zip Code)

Primary Location of Books and Records500 W. Main StreetLouisville , KY, US 40202502-580-1000  
(Street and Number)(City or Town, State, Country and Zip Code)(Area Code) (Telephone Number)

Internet Website Addresswww.humana.com

Statutory Statement ContactStephenie Abel502-580-2050  
(Name)(Area Code) (Telephone Number)

DOIINQUIRIES@humana.com502-580-2099  
(E-mail Address)(FAX Number)

OFFICERS

President & CEOBruce Dale BroussardSr. VP & CFOBrian Andrew Kane

VP & Corporate SecretaryJoan Olliges LenahanVP & Chief ActuaryKenny Waitem Kan

OTHER

Stephen Michael Arnhold, Vice President	Alan James Bailey, VP & Treasurer	John Edward Barger, III, VP of Dual Eligible & Medicaid Programs
Elizabeth Diane Bierbower, Pres, Group Segment	John Ellis Brown, VP - Medicare Service Operations	Renee Jacqueline Buckingham, VP & Div. Leader - Eastern Div.
Jonathan Albert Canine, VP & Appointed Actuary	John Gregory Catron, VP & Chief Compliance Officer	Charles Wilbur Dow Jr., Reg. Pres-Sr Products/Great Lakes Reg.
Mark Sobhi El-Tawil, VP & Div. Leader - Western Div.	Jeffrey Carl Fernandez, Seg. VP, Medicare: West	Brian Phillip LeClaire, Sr. VP & Chief Info Officer
Heidi Suzanne Margulis, Sr. Vice President	Mark Matthew Matzke, VP, Group Segment Leadership	Steven Edward McCulley, SVP, Medicare Operations
Kevin Ross Meriwether, VP & Div. Leader - Southeastern Div.	Matthew George Moore, Reg. Pres.-Sr. Prods./Central North Reg.	Bruno Roger Piquin, President, CarePlus and Puerto Rico
William Mark Preston, VP-Investment Management	Tamara Lynn Quiram, Seg. VP & Pres., Small Business & Large Group	Richard Donald Remmers, VP, Group Segment
George Renaudin, Seg. VP, Medicare: East	Donald Hank Robinson, Vice President - Tax	Joseph Christopher Ventura, Vice President and Assistant Corporate Secretary
Timothy Alan Wheatley, President, Retail Segment	Ralph Martin Wilson, Vice President	Tod James Zacharias #, Vice President
Cynthia Hillebrand Zipperle, VP & Chief Accounting Officer		

DIRECTORS OR TRUSTEES

Bruce Dale Broussard	Brian Andrew Kane	James Elmer Murray
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State ofKentucky

County ofJefferson

SS:

The officers of this reporting entity being duly sworn, each depose and say that they are the described officers of said reporting entity, and that on the reporting period stated above, all of the herein described assets were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as herein stated, and that this statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to, is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended, and have been completed in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures manual except to the extent that: (1) state law may differ; or, (2) that state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively. Furthermore, the scope of this attestation by the described officers also includes the related corresponding electronic filing with the NAIC, when required, that is an exact copy (except for formatting differences due to electronic filing) of the enclosed statement. The electronic filing may be requested by various regulators in lieu of or in addition to the enclosed statement.

Bruce Dale BroussardJoan Olliges LenahanAlan James Bailey  
President & CEOPresident & CEOPresident & CEO

Subscribed and sworn to before me this10th day ofNovember, 2016

a. Is this an original filing? Yes [ X ] No [ ]

b. If no,

1. State the amendment number.....

2. Date filed .....

3. Number of pages attached.....

Michele Sizemore  
Notary Public  
January 3, 2019

ASSETS

	Current Statement Date			4 December 31 Prior Year Net Admitted Assets
	1 Assets	2 Nonadmitted Assets	3 Net Admitted Assets (Cols. 1 - 2)	
1. Bonds .....	911,245,000	0	911,245,000	908,762,791
2. Stocks:				
2.1 Preferred stocks .....	0	0	0	0
2.2 Common stocks .....	21,445,757	0	21,445,757	23,959,920
3. Mortgage loans on real estate:				
3.1 First liens .....	27,600,000	0	27,600,000	27,600,000
3.2 Other than first liens.....	0	0	0	0
4. Real estate:				
4.1 Properties occupied by the company (less \$ .....0 encumbrances) .....	0	0	0	0
4.2 Properties held for the production of income (less \$ .....0 encumbrances) .....	0	0	0	0
4.3 Properties held for sale (less \$ .....0 encumbrances) .....	0	0	0	0
5. Cash (\$ .....(4,732,997) ), cash equivalents (\$ .....634,962,010 ) and short-term investments (\$ .....192,985,463 ) .....	823,214,476	0	823,214,476	3,625,111
6. Contract loans (including \$ .....0 premium notes) .....	0	0	0	0
7. Derivatives .....	0	0	0	0
8. Other invested assets .....	0	0	0	0
9. Receivables for securities .....	0	0	0	250,000
10. Securities lending reinvested collateral assets .....	0	0	0	0
11. Aggregate write-ins for invested assets .....	0	0	0	0
12. Subtotals, cash and invested assets (Lines 1 to 11) .....	1,783,505,233	0	1,783,505,233	964,197,822
13. Title plants less \$ .....0 charged off (for Title insurers only) .....	0	0	0	0
14. Investment income due and accrued .....	6,917,697	0	6,917,697	5,961,816
15. Premiums and considerations:				
15.1 Uncollected premiums and agents' balances in the course of collection .....	50,459,878	13,848,306	36,611,572	56,298,807
15.2 Deferred premiums, agents' balances and installments booked but deferred and not yet due (including \$ .....0 earned but unbilled premiums) .....	0	0	0	0
15.3 Accrued retrospective premiums (\$ .....345,832 ) and contracts subject to redetermination (\$ .....91,518,243 ) .....	113,142,987	21,278,912	91,864,075	90,063,260
16. Reinsurance:				
16.1 Amounts recoverable from reinsurers .....	9,290,747	1,190,057	8,100,690	19,104,768
16.2 Funds held by or deposited with reinsured companies .....	0	0	0	0
16.3 Other amounts receivable under reinsurance contracts .....	0	0	0	0
17. Amounts receivable relating to uninsured plans .....	109,233,059	17,503	109,215,556	103,429,748
18.1 Current federal and foreign income tax recoverable and interest thereon .....	0	0	0	0
18.2 Net deferred tax asset .....	99,121,819	26,311,751	72,810,068	72,810,068
19. Guaranty funds receivable or on deposit .....	0	0	0	0
20. Electronic data processing equipment and software .....	0	0	0	48,186
21. Furniture and equipment, including health care delivery assets (\$ .....0 ) .....	4,693,854	4,693,854	0	0
22. Net adjustment in assets and liabilities due to foreign exchange rates .....	0	0	0	0
23. Receivables from parent, subsidiaries and affiliates .....	5,333,549	0	5,333,549	21,305,458
24. Health care (\$ .....67,188,086 ) and other amounts receivable .....	82,600,846	14,414,675	68,186,171	52,134,684
25. Aggregate write-ins for other than invested assets .....	67,205,125	64,529,296	2,675,829	255,375
26. Total assets excluding Separate Accounts, Segregated Accounts and Protected Cell Accounts (Lines 12 to 25) .....	2,331,504,794	146,284,354	2,185,220,440	1,385,609,992
27. From Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0	0
28. Total (Lines 26 and 27)	2,331,504,794	146,284,354	2,185,220,440	1,385,609,992
DETAILS OF WRITE-INS				
1101. ....				
1102. ....				
1103. ....				
1198. Summary of remaining write-ins for Line 11 from overflow page .....	0	0	0	0
1199. Totals (Lines 1101 through 1103 plus 1198)(Line 11 above)	0	0	0	0
2501. Goodwill .....	29,326,190	29,326,190	0	0
2502. Provider Contracts .....	22,964,605	22,964,605	0	0
2503. Prepaid Commissions .....	9,134,742	9,134,742	0	0
2598. Summary of remaining write-ins for Line 25 from overflow page .....	5,779,588	3,103,759	2,675,829	255,375
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	67,205,125	64,529,296	2,675,829	255,375

LIABILITIES, CAPITAL AND SURPLUS

	Current Period			Prior Year
	1 Covered	2 Uncovered	3 Total	4 Total
1. Claims unpaid (less \$ .....77,483,899 reinsurance ceded) .....	597,426,156	40,609,893	638,036,049	488,751,681
2. Accrued medical incentive pool and bonus amounts .....	2,959,580	0	2,959,580	1,654,575
3. Unpaid claims adjustment expenses .....	4,223,557	0	4,223,557	3,466,717
4. Aggregate health policy reserves, including the liability of \$ .....5,188,617 for medical loss ratio rebate per the Public Health Service Act .....	72,268,888	0	72,268,888	81,778,660
5. Aggregate life policy reserves .....	0	0	0	0
6. Property/casualty unearned premium reserve .....	0	0	0	0
7. Aggregate health claim reserves .....	149,816	10,184	160,000	160,000
8. Premiums received in advance .....	505,030,514	0	505,030,514	27,347,411
9. General expenses due or accrued .....	25,693,534	0	25,693,534	28,129,388
10.1 Current federal and foreign income tax payable and interest thereon (including \$ .....(614,584) on realized gains (losses)) .....	27,435,560	0	27,435,560	1,770,490
10.2 Net deferred tax liability .....	0	0	0	0
11. Ceded reinsurance premiums payable .....	672,568	0	672,568	1,181,355
12. Amounts withheld or retained for the account of others.....	1,681	0	1,681	31,687
13. Remittances and items not allocated .....	172,513	0	172,513	389,349
14. Borrowed money (including \$ .....0 current) and interest thereon \$ .....0 (including \$ .....0 current) .....	0	0	0	0
15. Amounts due to parent, subsidiaries and affiliates .....	0	0	0	0
16. Derivatives .....	0	0	0	0
17. Payable for securities .....	114,223,682	0	114,223,682	0
18. Payable for securities lending .....	0	0	0	0
19. Funds held under reinsurance treaties (with \$ .....0 authorized reinsurers, \$ .....79,487,409 unauthorized reinsurers and \$ .....0 certified reinsurers).....	79,487,409	0	79,487,409	121,921,740
20. Reinsurance in unauthorized and certified (\$ .....0 ) companies .....	0	0	0	0
21. Net adjustments in assets and liabilities due to foreign exchange rates .....	0	0	0	0
22. Liability for amounts held under uninsured plans .....	82,735,279	0	82,735,279	27,719,826
23. Aggregate write-ins for other liabilities (including \$ .....0 current) .....	0	0	0	0
24. Total liabilities (Lines 1 to 23) .....	1,512,480,737	40,620,077	1,553,100,814	784,302,879
25. Aggregate write-ins for special surplus funds .....	XXX	XXX	0	131,614,832
26. Common capital stock .....	XXX	XXX	2,248,000	2,248,000
27. Preferred capital stock .....	XXX	XXX	0	0
28. Gross paid in and contributed surplus .....	XXX	XXX	954,261,854	914,261,854
29. Surplus notes .....	XXX	XXX	0	0
30. Aggregate write-ins for other than special surplus funds .....	XXX	XXX	0	0
31. Unassigned funds (surplus) .....	XXX	XXX	(324,390,228)	(446,817,573)
32. Less treasury stock, at cost:				
32.1 .....0 shares common (value included in Line 26 \$ .....0 ) .....	XXX	XXX	0	0
32.2 .....0 shares preferred (value included in Line 27 \$ .....0 ) .....	XXX	XXX	0	0
33. Total capital and surplus (Lines 25 to 31 minus Line 32) .....	XXX	XXX	632,119,626	601,307,113
34. Total liabilities, capital and surplus (Lines 24 and 33)	XXX	XXX	2,185,220,440	1,385,609,992
DETAILS OF WRITE-INS				
2301. ....				
2302. ....				
2303. ....				
2398. Summary of remaining write-ins for Line 23 from overflow page .....	0	0	0	0
2399. Totals (Lines 2301 through 2303 plus 2398)(Line 23 above)	0	0	0	0
2501. Special Surplus – Projected HCRL Assessment for the Upcoming Year .....	XXX	XXX	0	131,614,832
2502. ....	XXX	XXX		
2503. ....	XXX	XXX		
2598. Summary of remaining write-ins for Line 25 from overflow page .....	XXX	XXX	0	0
2599. Totals (Lines 2501 through 2503 plus 2598)(Line 25 above)	XXX	XXX	0	131,614,832
3001. ....	XXX	XXX		
3002. ....	XXX	XXX		
3003. ....	XXX	XXX		
3098. Summary of remaining write-ins for Line 30 from overflow page .....	XXX	XXX	0	0
3099. Totals (Lines 3001 through 3003 plus 3098)(Line 30 above)	XXX	XXX	0	0

STATEMENT OF REVENUE AND EXPENSES

	Current Year To Date		Prior Year To Date	Prior Year Ended December 31
	1 Uncovered	2 Total	3 Total	4 Total
1. Member Months .....	XXX	8,505,207	7,226,241	9,944,267
2. Net premium income ( including \$ .....0 non-health premium income).....	XXX	5,478,189,482	4,364,981,213	5,775,581,866
3. Change in unearned premium reserves and reserve for rate credits.....	XXX	3,384,127	4,820,464	15,349,847
4. Fee-for-service (net of \$ .....0 medical expenses).....	XXX	0	0	0
5. Risk revenue .....	XXX	0	0	0
6. Aggregate write-ins for other health care related revenues .....	XXX	0	0	0
7. Aggregate write-ins for other non-health revenues .....	XXX	0	0	0
8. Total revenues (Lines 2 to 7) .....	XXX	5,481,573,609	4,369,801,677	5,790,931,713
<b>Hospital and Medical:</b>				
9. Hospital/medical benefits .....	271,323,575	4,337,373,179	3,603,974,760	4,762,445,219
10. Other professional services .....	0	139,333,881	89,597,946	120,109,089
11. Outside referrals .....	0	0	0	0
12. Emergency room and out-of-area .....	28,352,732	175,973,243	133,030,486	179,242,490
13. Prescription drugs .....	0	603,163,980	501,915,808	655,453,851
14. Aggregate write-ins for other hospital and medical .....	0	0	0	0
15. Incentive pool, withhold adjustments and bonus amounts .....	0	1,627,575	2,783,918	2,533,747
16. Subtotal (Lines 9 to 15) .....	299,676,307	5,257,471,858	4,331,302,918	5,719,784,396
<b>Less:</b>				
17. Net reinsurance recoveries .....	0	534,643,057	480,138,553	634,816,763
18. Total hospital and medical (Lines 16 minus 17) .....	299,676,307	4,722,828,801	3,851,164,365	5,084,967,633
19. Non-health claims (net) .....	0	0	0	0
20. Claims adjustment expenses, including \$ .....182,151,157 cost containment expenses .....	0	212,976,913	209,901,158	279,589,364
21. General administrative expenses .....	0	531,440,625	407,836,480	523,929,156
22. Increase in reserves for life and accident and health contracts (including \$ .....0 increase in reserves for life only) .....	0	(13,337,564)	(8,819,254)	20,780,272
23. Total underwriting deductions (Lines 18 through 22).....	299,676,307	5,453,908,775	4,460,082,749	5,909,266,425
24. Net underwriting gain or (loss) (Lines 8 minus 23) .....	XXX	27,664,834	(90,281,072)	(118,334,712)
25. Net investment income earned .....	0	14,066,985	18,923,278	24,757,959
26. Net realized capital gains (losses) less capital gains tax of \$ .....1,894,499 .....	0	3,518,355	5,023,164	6,513,307
27. Net investment gains (losses) (Lines 25 plus 26) .....	0	17,585,340	23,946,442	31,271,266
28. Net gain or (loss) from agents' or premium balances charged off [(amount recovered \$ .....0 ) (amount charged off \$ .....0 )].....	0	0	0	0
29. Aggregate write-ins for other income or expenses .....	0	(31,674)	147,265	(93,329)
30. Net income or (loss) after capital gains tax and before all other federal income taxes (Lines 24 plus 27 plus 28 plus 29) .....	XXX	45,218,500	(66,187,365)	(87,156,775)
31. Federal and foreign income taxes incurred .....	XXX	60,722,474	14,761,010	15,729,115
32. Net income (loss) (Lines 30 minus 31) .....	XXX	(15,503,974)	(80,948,375)	(102,885,890)
<b>DETAILS OF WRITE-INS</b>				
0601. ....	XXX			
0602. ....	XXX			
0603. ....	XXX			
0698. Summary of remaining write-ins for Line 6 from overflow page .....	XXX	0	0	0
0699. Totals (Lines 0601 through 0603 plus 0698)(Line 6 above) .....	XXX	0	0	0
0701. ....	XXX			
0702. ....	XXX			
0703. ....	XXX			
0798. Summary of remaining write-ins for Line 7 from overflow page .....	XXX	0	0	0
0799. Totals (Lines 0701 through 0703 plus 0798)(Line 7 above) .....	XXX	0	0	0
1401. ....				
1402. ....				
1403. ....				
1498. Summary of remaining write-ins for Line 14 from overflow page .....	0	0	0	0
1499. Totals (Lines 1401 through 1403 plus 1498)(Line 14 above) .....	0	0	0	0
2901. Miscellaneous Income .....	0	1,038	147,265	127,285
2902. Loss on Disposal .....	0	(32,712)	0	(220,614)
2903. ....				
2998. Summary of remaining write-ins for Line 29 from overflow page .....	0	0	0	0
2999. Totals (Lines 2901 through 2903 plus 2998)(Line 29 above) .....	0	(31,674)	147,265	(93,329)

STATEMENT OF REVENUE AND EXPENSES (Continued)

	1 Current Year to Date	2 Prior Year to Date	3 Prior Year Ended December 31
CAPITAL AND SURPLUS ACCOUNT			
33. Capital and surplus prior reporting year.....	601,307,113	585,645,715	585,645,715
34. Net income or (loss) from Line 32 .....	(15,503,974)	(80,948,375)	(102,885,890)
35. Change in valuation basis of aggregate policy and claim reserves .....	0	0	0
36. Change in net unrealized capital gains (losses) less capital gains tax of \$ .....0	(2,410,569)	(2,235,832)	(3,239,582)
37. Change in net unrealized foreign exchange capital gain or (loss) .....	0	0	0
38. Change in net deferred income tax .....	0	0	22,852,904
39. Change in nonadmitted assets .....	(4,061,677)	(17,432,359)	(12,104,034)
40. Change in unauthorized and certified reinsurance .....	0	0	0
41. Change in treasury stock .....	0	0	0
42. Change in surplus notes .....	0	0	0
43. Cumulative effect of changes in accounting principles.....	0	0	0
44. Capital Changes:			
44.1 Paid in .....	0	0	0
44.2 Transferred from surplus (Stock Dividend).....	0	0	0
44.3 Transferred to surplus.....	0	0	0
45. Surplus adjustments:			
45.1 Paid in .....	40,000,000	0	125,000,000
45.2 Transferred to capital (Stock Dividend) .....	0	0	0
45.3 Transferred from capital .....	0	0	0
46. Dividends to stockholders .....	0	0	0
47. Aggregate write-ins for gains or (losses) in surplus .....	12,788,733	0	(13,962,000)
48. Net change in capital & surplus (Lines 34 to 47) .....	30,812,513	(100,616,566)	15,661,398
49. Capital and surplus end of reporting period (Line 33 plus 48)	632,119,626	485,029,149	601,307,113
DETAILS OF WRITE-INS			
4701. 2016 Risk Corridor Impact on Premium Deficiency Reserve .....	12,788,733	0	(13,962,000)
4702. ....			
4703. ....			
4798. Summary of remaining write-ins for Line 47 from overflow page .....	0	0	0
4799. Totals (Lines 4701 through 4703 plus 4798)(Line 47 above)	12,788,733	0	(13,962,000)

CASH FLOW

	1 Current Year To Date	2 Prior Year To Date	3 Prior Year Ended December 31
<b>Cash from Operations</b>			
1. Premiums collected net of reinsurance .....	5,976,839,779	4,318,389,762	5,769,306,787
2. Net investment income .....	23,617,109	23,348,197	31,115,354
3. Miscellaneous income .....	0	0	0
4. Total (Lines 1 to 3) .....	6,000,456,887	4,341,737,959	5,800,422,141
5. Benefit and loss related payments .....	4,573,649,753	3,779,016,506	5,051,182,722
6. Net transfers to Separate Accounts, Segregated Accounts and Protected Cell Accounts .....	0	0	0
7. Commissions, expenses paid and aggregate write-ins for deductions .....	696,892,309	638,347,234	796,728,024
8. Dividends paid to policyholders .....	0	0	0
9. Federal and foreign income taxes paid (recovered) net of \$ ..... 4,121,749 tax on capital gains (losses) .....	36,951,903	9,358,795	18,498,675
10. Total (Lines 5 through 9) .....	5,307,493,965	4,426,722,535	5,866,409,421
11. Net cash from operations (Line 4 minus Line 10) .....	692,962,922	(84,984,576)	(65,987,280)
<b>Cash from Investments</b>			
12. Proceeds from investments sold, matured or repaid:			
12.1 Bonds .....	460,262,701	457,902,743	634,009,741
12.2 Stocks .....	0	0	0
12.3 Mortgage loans .....	0	0	0
12.4 Real estate .....	0	0	0
12.5 Other invested assets .....	0	0	0
12.6 Net gains or (losses) on cash, cash equivalents and short-term investments .....	5,424	3,684	3,370
12.7 Miscellaneous proceeds .....	114,473,682	0	0
12.8 Total investment proceeds (Lines 12.1 to 12.7) .....	574,741,807	457,906,427	634,013,111
13. Cost of investments acquired (long-term only):			
13.1 Bonds .....	467,739,891	556,229,495	780,709,895
13.2 Stocks .....	0	0	0
13.3 Mortgage loans .....	0	0	0
13.4 Real estate .....	0	0	0
13.5 Other invested assets .....	0	0	0
13.6 Miscellaneous applications .....	0	3,984,361	0
13.7 Total investments acquired (Lines 13.1 to 13.6) .....	467,739,891	560,213,856	780,709,895
14. Net increase (or decrease) in contract loans and premium notes .....	0	0	0
15. Net cash from investments (Line 12.8 minus Line 13.7 and Line 14) .....	107,001,916	(102,307,429)	(146,696,784)
<b>Cash from Financing and Miscellaneous Sources</b>			
16. Cash provided (applied):			
16.1 Surplus notes, capital notes .....	0	0	0
16.2 Capital and paid in surplus, less treasury stock .....	40,000,000	0	125,000,000
16.3 Borrowed funds .....	0	0	0
16.4 Net deposits on deposit-type contracts and other insurance liabilities .....	0	0	0
16.5 Dividends to stockholders .....	0	0	0
16.6 Other cash provided (applied) .....	(20,375,474)	70,560,603	(37,063,790)
17. Net cash from financing and miscellaneous sources (Line 16.1 through Line 16.4 minus Line 16.5 plus Line 16.6) .....	19,624,526	70,560,603	87,936,210
<b>RECONCILIATION OF CASH, CASH EQUIVALENTS AND SHORT-TERM INVESTMENTS</b>			
18. Net change in cash, cash equivalents and short-term investments (Line 11, plus Lines 15 and 17) .....	819,589,365	(116,731,402)	(124,747,854)
19. Cash, cash equivalents and short-term investments:			
19.1 Beginning of year .....	3,625,111	128,372,965	128,372,965
19.2 End of period (Line 18 plus Line 19.1) .....	823,214,476	11,641,563	3,625,111

Note: Supplemental disclosures of cash flow information for non-cash transactions:

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EXHIBIT OF PREMIUMS, ENROLLMENT AND UTILIZATION

	1  Total	Comprehensive (Hospital & Medical)		4  Medicare Supplement	5  Vision Only	6  Dental Only	7  Federal Employees Health Benefit Plan	8  Title XVIII Medicare	9  Title XIX Medicaid	10  Other
		2  Individual	3  Group							
Total Members at end of:										
1. Prior Year .....	861,463	25,897	183,999	0	0	0	20,834	480,688	150,045	0
2. First Quarter .....	951,840	32,845	178,172	0	0	0	17,600	573,981	149,242	0
3. Second Quarter .....	958,695	29,495	176,046	0	0	0	17,296	579,223	156,635	0
4. Third Quarter .....	963,009	27,669	174,197	0	0	0	17,109	584,960	159,074	0
5. Current Year	0	0	0	0	0	0	0	0	0	0
6. Current Year Member Months	8,505,207	268,405	1,584,231	0	0	0	153,946	5,199,819	1,298,806	0
Total Member Ambulatory Encounters for Period:										
7. Physician .....	11,483,183	165,398	923,448	0	0	0	144,022	7,899,615	2,350,700	0
8. Non-Physician .....	6,281,242	69,683	352,387	0	0	0	62,647	4,253,323	1,543,202	0
9. Total	17,764,425	235,081	1,275,835	0	0	0	206,669	12,152,938	3,893,902	0
10. Hospital Patient Days Incurred	1,413,835	7,998	35,247	0	0	0	5,352	1,007,314	357,924	0
11. Number of Inpatient Admissions	156,385	1,436	6,143	0	0	0	804	114,544	33,458	0
12. Health Premiums Written (a) .....	6,064,610,192	108,787,110	557,508,590	0	0	(13)	92,822,908	4,502,204,221	803,287,376	0
13. Life Premiums Direct .....	0	0	0	0	0	0	0	0	0	0
14. Property/Casualty Premiums Written .....	0	0	0	0	0	0	0	0	0	0
15. Health Premiums Earned .....	6,067,994,320	112,720,938	557,325,834	0	0	(13)	92,822,908	4,504,122,439	801,002,214	0
16. Property/Casualty Premiums Earned .....	0	0	0	0	0	0	0	0	0	0
17. Amount Paid for Provision of Health Care Services.....	5,129,806,554	108,742,519	443,543,125	0	0	826	80,134,046	3,750,006,116	747,379,922	0
18. Amount Incurred for Provision of Health Care Services	5,257,471,858	109,987,921	444,359,199	0	0	663	74,963,097	3,891,683,429	736,477,549	0

(a) For health premiums written: amount of Medicare Title XVIII exempt from state taxes or fees \$ .....4,502,204,221

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

## CLAIMS UNPAID AND INCENTIVE POOL, WITHHOLD AND BONUS (Reported and Unreported)

[illegible]

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UNDERWRITING AND INVESTMENT EXHIBIT

ANALYSIS OF CLAIMS UNPAID - PRIOR YEAR - NET OF REINSURANCE

Line of Business	Claims Paid Year to Date		Liability End of Current Quarter		5  Claims Incurred in Prior Years (Columns 1 + 3)	6  Estimated Claim Reserve and Claim Liability December 31 of Prior Year
	1  On Claims Incurred Prior to January 1 of Current Year	2  On Claims Incurred During the Year	3  On Claims Unpaid Dec. 31 of Prior Year	4  On Claims Incurred During the Year		
1. Comprehensive (hospital and medical) .....	68,293,965	477,105,175	3,099,799	74,884,012	71,393,764	79,719,712
2. Medicare Supplement .....	0	0	0	0	0	0
3. Dental Only .....	826	0	1	0	827	164
4. Vision Only .....	0	0	0	0	0	0
5. Federal Employees Health Benefits Plan .....	9,974,849	70,159,197	529,801	10,283,725	10,504,650	12,496,436
6. Title XVIII - Medicare .....	270,511,842	3,479,171,704	6,984,754	520,196,616	277,496,596	371,103,355
7. Title XIX - Medicaid .....	43,172,358	166,850,127	2,515,651	19,701,690	45,688,009	25,592,014
8. Other health .....	0	0	0	0	0	0
9. Health subtotal (Lines 1 to 8) .....	391,953,840	4,193,286,203	13,130,006	625,066,043	405,083,846	488,911,681
10. Healthcare receivables (a) .....	14,313,077	67,289,686	0	0	14,313,077	68,279,578
11. Other non-health .....	0	0	0	0	0	0
12. Medical incentive pools and bonus amounts .....	0	322,570	0	2,959,580	0	1,654,575
13. Totals (Lines 9-10+11+12)	377,640,763	4,126,319,087	13,130,006	628,025,623	390,770,769	422,286,678

(a) Excludes \$ 0 loans or advances to providers not yet expensed.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

1. Summary of Significant Accounting Policies

A. Accounting Practices

The financial statements of the Company are presented on the basis of accounting practices prescribed or permitted by the Commonwealth of Kentucky Department of Insurance.

The Commonwealth of Kentucky Department of Insurance recognizes only statutory accounting practices prescribed or permitted by the State of Kentucky for determining and reporting the financial condition and results of operations of an insurance company, for determining its solvency under the Kentucky Insurance Law. The National Association of Insurance Commissioners' (NAIC) Accounting Practices and Procedures manual (NAIC SAP) has been adopted as a component of prescribed or permitted practices by the State of Kentucky. The Commissioner of Insurance has the right to permit other specific practices that deviate from prescribed practices. No deviations from the Codification currently exist.

A reconciliation of the Company's net income and capital and surplus between NAIC SAP and practices prescribed and permitted by the State of Kentucky is shown below:

	State of Domicile	2016	2015
Net Loss			
1. Humana Health Plan, Inc. Kentucky basis	KY	\$ (15,503,974)	\$ (102,885,890)
2. State Prescribed Practices that increase/(decrease) NAIC SAP	KY	-	-
3. State Permitted Practices that increase/(decrease) NAIC SAP	KY	-	-
4. NAIC SAP	KY	\$ <u>(15,503,974)</u>	\$ <u>(102,885,890)</u>
Surplus			
5. Humana Health Plan, Inc. Kentucky basis	KY	\$ 632,119,626	\$ 601,307,113
6. State Prescribed Practices that increase/(decrease) NAIC SAP	KY	-	-
7. State Permitted Practices that increase/(decrease) NAIC SAP	KY	-	-
8. NAIC SAP	KY	\$ <u>632,119,626</u>	\$ <u>601,307,113</u>

B. Use of Estimates in the Preparation of the Financial Statements

The preparation of financial statements in conformity with Statutory Accounting Principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities. It also requires disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the period. These estimates are based on knowledge of current events and anticipated future events, and accordingly, actual results could differ from those estimates.

C. Accounting Policy

Premiums are reported as earned in the period in which members are entitled to receive services, and are net of retroactive membership adjustments. Retroactive membership adjustments result from enrollment changes not yet processed, or not yet reported by an employer group or the government. Premiums received prior to such period are recorded as advance premiums.

Benefits incurred and loss adjustment expenses include claim payments, capitation payments, pharmacy costs net of rebates, allocations of certain centralized expenses, legal and administrative costs to settle claims, and various other costs incurred to provide health insurance coverage to members, as well as estimates of future payments to hospitals and others for medical care provided prior to the date of the statements of admitted assets, liabilities and surplus. Capitation payments represent monthly contractual fees disbursed to participating primary care physicians, and other providers who are responsible for providing medical care to members. Pharmacy costs represent payments for members' prescription drug benefits, net of rebates from drug manufacturers.

In addition, the Company uses the following accounting policies:

- (1) Short-term investments include investments mainly in U.S. Government obligations with a maturity of twelve months or less from the date of purchase. Short-term investments are recorded at amortized cost. The carrying value of short-term investments approximates fair value due to the short-term maturities of the investments.
- (2-4) Investments are valued and classified in accordance with methods prescribed by the NAIC. Bonds with an NAIC rating of 1 or 2 are carried at amortized cost, with all other bonds being recorded at the lower of amortized cost or fair value; redeemable preferred stocks are carried at amortized cost; and non-redeemable preferred stocks are carried at fair value. Common stocks are carried at fair value.

The Company regularly evaluates investment securities for impairment. For all securities other than loan-backed and structured securities, the Company considers factors affecting the investee, factors affecting the industry the investee operates within, and general debt and equity market trends. The Company also considers the length of time an investment's fair value has been below carrying value, the near term prospects for recovery to carrying value, and the Company's intent and ability to hold the investment until maturity or market recovery is realized. If and when a determination is made that a decline in fair value below the cost basis is other-than-temporary, the related investment is written down to its estimated fair value through earnings.

Amortization of bond premium or discount is computed using the scientific interest method.

## STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

### NOTES TO THE FINANCIAL STATEMENTS

Income from investments is recorded on an accrual basis. For the purpose of determining realized gains and losses, the cost of securities sold is based upon specific identification. Investment income due and accrued over 90 days past due is nonadmitted.

- (5) The Company estimates the fair value of its investments in mortgage loans on real estate using a discounted cash flow method based on rating, maturity and future income when compared to the expected yield for mortgages having similar characteristics. The rating for mortgages in good standing is based on property type, location, market conditions, occupancy, debt service coverage, loan to value, caliber of tenancy, borrower and payment record. Problem mortgages are priced to reflect their monetary value to the Company, considering such things as the degree of default, whether or not the payments are still being made, interest rate, maturity and operating performance of the underlying collateral.
- (6) For loan backed and structured securities where the securities fair value is less than the amortized cost, the Company considers several factors to determine if the security's impairment is other-than-temporary. If the Company has the intent to sell the security or if the Company does not have the intent and ability to retain the security until recovery of its fair value, the related investment is written down to its estimated fair value through earnings. If, however, the Company has the intent and ability to retain the security until recovery of its fair value, the Company considers factors affecting the investee, factors affecting the industry the investee operates within, and general debt and equity market trends. The Company also considers the length of time an investment's fair value has been below carrying value and the near term prospects for recovery to carrying value. If the determination is made, based on these factors, that the Company does expect to recover the entire amortized cost of the security, then an other-than-temporary impairment has not occurred. If, however, the determination is made that the Company does not expect to recover the entire amortized cost of the security based on the factors noted above, the Company recognizes a realized loss in earnings for the non-interest related decline. No loss is recognized for the interest impairment.
- (7) The Company accounts for its investments in subsidiaries using the audited statutory equity method of accounting.
- (8) Not Applicable.
- (9) Not Applicable.
- (10-11) The estimates of future medical benefit payments are developed using actuarial methods and assumptions based upon claim payment patterns, medical cost inflation, historical development such as claim inventory levels and claim receipt patterns, and other relevant factors. Corresponding administrative costs to process outstanding claims are estimated and accrued. Estimates of future payments relating to services incurred in the current and prior periods are continually reviewed by management and adjusted as necessary.

The Company assesses the profitability of its contracts for providing health insurance coverage to its members when current operating results or forecasts indicate probable future losses. The Company records a premium deficiency liability in current operations to the extent that the sum of expected future medical costs, claim adjustment expenses and maintenance costs exceed related future premiums. On policies governed by the recently issued guidance in INT 15-01, the anticipated impact of future Risk Corridor Receivables has been recorded as a direct charge to surplus consistent with the required non-admission of these assets in future periods. Investment income is not contemplated in the calculation of the premium deficiency liability.

Management believes the Company's benefits payable and loss adjustment expense are adequate to cover future claims and loss adjustment expense payments required, however, such estimates are based on knowledge of current events and anticipated future events and, therefore, the actual liability could differ from the amounts provided.

- (12) The Company has not modified its capitalization policy from the prior period.

Equipment is stated at cost less accumulated depreciation. Depreciation expense is computed using the straight-line method over estimated useful lives generally ranging from three to five years. Improvements to leased facilities are depreciated over the shorter of the remaining lease term or the anticipated life of the improvement.

The Company recognizes an asset or liability for the deferred tax consequences of temporary differences between the tax bases of assets or liabilities and their reported amounts in the financial statements. The temporary differences will result in taxable or deductible amounts in future years when the reported amounts of the assets or liabilities are recovered or settled.

- (13) The Company estimates anticipated Pharmacy Rebate Receivables using the analysis of historical recovery patterns.
- (14) Not Applicable.
- (15) Not Applicable.

#### 2. Accounting Changes and Corrections of Errors

Not Applicable.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

3. Business Combinations and Goodwill

A. Statutory Purchase Method

On April 30, 2008, the Company acquired UnitedHealth Group's Las Vegas, Nevada individual SecureHorizons Medicare Advantage HMO customer and provider contracts, or SecureHorizons, for cash consideration of approximately \$185,300,000. In accordance with SSAP No. 20, *Nonadmitted Assets*, the \$185,300,000 of intangible assets were recorded as nonadmitted assets. Goodwill amortization expense relating to the purchase of SecureHorizons was \$13,891,352 for the quarter ended September 30, 2016.

B. Statutory Merger

Not Applicable.

C. Assumption Reinsurance

Not Applicable.

D. Impairment Loss

Not Applicable.

4. Discontinued Operations

Not Applicable.

5. Investments

A. Mortgage Loans, Including Mezzanine Real Estate Loans

No material change since year-end December 31, 2015.

B. Debt Restructuring

Not Applicable.

C. Reverse Mortgages

Not Applicable.

D. Loan-Backed Securities

(1) Prepayment assumptions for mortgage-backed/loan-backed and structured securities were obtained from industry market sources.

(2) Not Applicable.

(3) Not Applicable.

(4) The Company does not have any investments in an other-than-temporary impairment position at September 30, 2016.

Gross unrealized losses and related fair value of temporarily impaired securities that have been in a continuous unrealized loss position were as follows at September 30, 2016:

(a) The aggregate amount of unrealized losses:

1. Less than Twelve Months	\$	(17,278)
2. Twelve Months or Longer	\$	(1,617,706)

(b) The aggregate related fair value of securities with unrealized losses:

1. Less than Twelve Months	\$	18,454,419
2. Twelve Months or Longer	\$	23,379,910

(5) Unrealized losses are primarily due to increases in market interest rates and tighter liquidity conditions in the current markets than when the securities were purchased. All issuers of securities trading at an unrealized loss remain current on all contractual payments and the Company believes it is probable that all amounts due according to the contractual terms of the debt securities are collectible. After taking into account these and other factors, including the severity of the decline and the Company's ability and intent to hold these securities until recovery or maturity, the Company determined the unrealized losses on these investment securities were temporary and, as such, no impairment was required.

E. Repurchase Agreements and/or Securities Lending Transactions

(1) The Company has no repurchase agreements or securities lending transactions.

(2) The Company has not pledged any of its assets as collateral.

(3-7) Not Applicable.

F. Real Estate

Not Applicable.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

G. Low-Income Housing Tax Credits (LIHTC)

Not Applicable.

H. Restricted Assets

(1) Restricted Assets (Including Pledged)

Restricted Asset Category	Total Gross Restricted from Current Year	Total Gross Restricted from Prior Year	Increase/ (Decrease)	Total Current Year Admitted Restricted	Percentage Gross Restricted to Total Assets	Percentage Admitted Restricted to Total Admitted Assets
a. Subject to contractual obligation for which liability is not shown	\$ -	\$ -	\$ -	\$ -	-%	-%
b. Collateral held under security lending agreements	-	-	-	-	-	-
c. Subject to repurchase agreements	-	-	-	-	-	-
d. Subject to reverse repurchase agreements	-	-	-	-	-	-
e. Subject to dollar repurchase agreements	-	-	-	-	-	-
f. Subject to dollar reverse repurchase agreements	-	-	-	-	-	-
g. Placed under option contracts	-	-	-	-	-	-
h. Letter stock or securities restricted to sale – excluding FHLB capital stock	-	-	-	-	-	-
i. FHLB capital stock	-	-	-	-	-	-
j. On deposit with states	21,083,105	21,630,579	(547,474)	21,083,105	0.90%	0.96%
k. On deposit with other regulatory bodies	-	-	-	-	-	-
l. Pledged collateral to FHLB (including assets backing funding agreements)	-	-	-	-	-	-
m. Pledged as collateral not captured in other categories	-	-	-	-	-	-
n. Other restricted assets	-	-	-	-	-	-
o. Total Restricted Assets	\$ 21,083,105	\$ 21,630,579	\$ (547,474)	\$ 21,083,105	0.90%	0.96%

(2) Detail of Assets Pledged as Collateral Not Captured in Other Categories (Contracts that Share Similar Characteristics, Such as Reinsurance and Derivatives, Are Reported in the Aggregate)

Not Applicable.

(3) Detail of Other Restricted Assets Categories (Contracts that Share Similar Characteristics, Such as Reinsurance and Derivatives, Are Reported in the Aggregate)

Not Applicable.

I. Working Capital Finance Investments

Not Applicable.

J. Offsetting and Netting of Assets and Liabilities

Not Applicable.

K. Structured Notes

Not Applicable.

6. Joint Ventures, Partnerships and Limited Liability Companies

- A. The Company has no investments in Joint Ventures, Partnerships or Limited Liability Companies that exceed 10.0 percent of its admitted assets.
- B. The Company did not recognize any impairment write down for its investments in Joint Ventures, Partnerships and Limited Liability Companies during the statement periods.

7. Investment Income

- A. Due and accrued income was excluded from surplus on the following basis:

All investment income due and accrued with amounts that are over 90 days past due with the exception of mortgage loans in default.

- B. The total amount excluded was \$0.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

8. Derivative Instruments

Not Applicable.

9. Income Taxes

No material change since year-end December 31, 2015.

10. Information Concerning Parent, Subsidiaries and Affiliates

A.-F. The Company has several management contracts with Humana Inc. and other related parties whereby the Company is provided with medical and executive management, information systems, claims processing, billing and enrollment, and telemarketing and other services as required by the Company. Management fees charged to operations for the years ended December 31, 2015 and 2014 were \$562,987,176 and \$594,777,349, respectively. As a part of this agreement, Humana Inc. makes cash disbursements on behalf of the Company which includes, but is not limited to, medical related items, general and administrative expenses, commissions and payroll. Humana Inc. is reimbursed by the Company weekly, based upon historical pattern of amounts and timing. Each month, these estimates are adjusted to ultimately settle upon actual disbursements made on behalf of the Company. The Company continues to be primarily liable for any outstanding payments made on behalf of the Company, should Humana Inc. not be able to fulfill its obligations.

No dividends were paid by the Company as of September 30, 2016.

The Company received a \$40,000,000 capital contribution from Humana, Inc. on June 29, 2016.

At September 30, 2016, the Company reported \$5,333,549 due from Humana Inc. Amounts due to or from parent are generally settled within 30 days.

G. All outstanding shares of the Company are owned by the Parent Company.

H. Not Applicable.

I. Not Applicable.

J. Not Applicable.

K. Not Applicable.

L. Not Applicable.

M. Not Applicable.

N. Not Applicable.

11. Debt

A. Debt Including Capital Notes

The Company has no debentures outstanding.

The Company has no capital notes outstanding.

The Company does not have any reverse repurchase agreements.

B. Federal Home Loan Bank (FHLB) Agreements

The Company does not have any FHLB agreements.

12. Retirement Plans, Deferred Compensation, Postemployment Benefits and Compensated Absences and Other Postretirement Benefit Plans

A.-D. Defined Benefit Plans

Not Applicable.

E. Defined Contribution Plans

Not Applicable.

F. Multiemployer Plans

Not Applicable.

G. Consolidated/Holding Company Plans

No material change since year-end December 31, 2015.

H. Postemployment Benefits and Compensated Absences

Not Applicable.

**STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.**

**NOTES TO THE FINANCIAL STATEMENTS**

I. Impact of Medicare Modernization Act on Postretirement Benefits (INT 04-17)

Not Applicable.

13. Capital and Surplus, Shareholders' Dividend Restrictions and Quasi-Reorganizations

(1) The Company has \$1 par value common stock with 5,000,000 shares authorized and 2,248,000 shares issued and 2,248,000 outstanding. All shares are common stock shares.

(2) The Company has no preferred stock outstanding.

(3-5) Dividends are noncumulative and are paid as determined by the Board of Directors. Dividends are subject to the approval of the Commonwealth of Kentucky Department of Insurance if such dividend distribution exceeds the lesser of the Company's prior year net operating profits or 10 percent of policyholders surplus funds derived from realized net operating profits.

Within the limitations above, there are no restrictions placed on the portion of Company profits that may be paid as ordinary dividends to stockholders.

No dividends were paid by the Company as of September 30, 2016.

(6) There were no restrictions placed on the Company's surplus, including for whom the surplus is being held.

(7) Not Applicable.

(8) Not Applicable.

(9) Changes in balances of special surplus funds from the prior year is due to the moratorium of the 2017 Health Insurer Fee.

(10) The portion of unassigned funds (surplus) represented or reduced by cumulative unrealized gains and losses is \$(2,410,569).

(11) Not Applicable.

(12) Not Applicable.

(13) Not Applicable.

14. Liabilities, Contingencies and Assessments

A. Contingent Commitments

Not Applicable.

B. Assessments

Not Applicable.

C. Gain Contingencies

Not Applicable.

D. Claims related extra contractual obligation and bad faith losses stemming from lawsuits

Not Applicable.

E. Joint and Several Liabilities

Not Applicable.

F. All Other Contingencies

During the ordinary course of business, the Company is subject to pending and threatened legal actions. Management of the Company does not believe that any of these actions will have a material adverse effect on the Company's surplus, results of operations or cash flows. However, the likelihood or outcome of current or future legal proceedings cannot be accurately predicted, and they could adversely affect the Company's surplus, results of operations and cash flows.

The Company is not aware of any other material contingent liabilities as of September 30, 2016.

15. Leases

No material change since year-end December 31, 2015.

16. Information about Financial Instruments With Off-Balance Sheet Risk and Financial Instruments With Concentrations of Credit Risk

The Company has no investment in Financial Instruments with Off-Balance Sheet Risk or Concentrations of Credit Risk.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

17. Sale, Transfer and Servicing of Financial Assets and Extinguishments of Liabilities

A. Transfers of Receivables Reported as Sales

Not Applicable.

B. Transfer and Servicing of Financial Assets

Not Applicable.

C. Wash Sales

Not Applicable.

18. Gain or Loss to the Reporting Entity from Uninsured Plans and the Uninsured Portion of Partially Insured Plans

A. ASO Plans

The gain from operations from Administrative Services Only (ASO) uninsured plans and the uninsured portion of partially insured plans were as follows for the quarter ended September 30, 2016:

	ASO Uninsured Plans	Uninsured Portion of Partially Insured Plans	Total ASO
a. Net reimbursement for administrative expenses (including administrative fees) in excess of actual expenses	\$ 5,389,523	\$ -	\$ 5,389,523
b. Total net other income or expenses (including interest paid to or received from plans)	\$ (14,231)	\$ -	\$ (14,231)
c. Net gain or (loss) from operations	\$ 5,375,292	\$ -	\$ 5,375,292
d. Total claim payment volume	851,238,380	-	851,238,380

B. ASC Plans

Not Applicable.

C. Medicare or Other Similarly Structured Cost Based Reimbursement Contract

(1) The Company records no revenue explicitly attributable to the cost share and reinsurance components of its Medicare or other similarly structured cost based reimbursement contracts.

(2) As of September 30, 2016, the Company has recorded a receivable from CMS of \$94,922,121 related to the cost share and reinsurance components of administered Medicare products and a receivable from ASO customers of \$14,293,435. The Company has recorded receivables from the following payors whose account balance are greater than 10% of the Company's amounts receivable from uninsured accident and health plans or \$10,000:

The Christ Hospital	\$ 1,044,307
Covenant Health	1,022,845

(3) As no revenue is recorded in connection with the cost share and reinsurance components of the Company's Medicare or other similarly structured cost based reimbursement contracts, the Company has recorded no allowances and reserves for adjustment of recorded revenues and receivables.

(4) The Company has made no adjustment to revenue resulting from audit of receivables related to revenues recorded in the prior period.

19. Direct Premium Written/Produced by Managing General Agents/Third Party Administrators

Not Applicable.

20. Fair Value Measurements

A. (1) The Company did not have any financial assets carried at fair value at September 30, 2016.

The Company reports transfers between Level 1 and Level 2 of the fair value hierarchy levels at the end of the reporting period. There were no transfers between Level 1 and Level 2 of the fair value hierarchy between December 31, 2015 and September 30, 2016.

(2) Fair Value Measurements in (Level 3) of the Fair Value Hierarchy

Not Applicable.

(3) The Company reports transfers into or out of Level 3 of the fair value hierarchy levels at the end of the reporting period. There were no transfers into or out of Level 3 of the fair value hierarchy levels between December 31, 2015 and September 30, 2016.



NOTES TO THE FINANCIAL STATEMENTS

(4) Fair value of actively traded debt securities are based on quoted market prices. Fair value of other debt securities are based on quoted market prices of identical or similar securities or based on observable inputs like interest rates generally using a market valuation approach, or, less frequently, an income valuation approach and are generally classified as Level 2. The Company generally obtains one quoted price for each security from a third party pricing service. These prices are generally derived from recently reported trades for identical or similar securities, including adjustments through the reporting date based upon observable market information. When quoted prices are not available, the third party pricing service may use quoted market prices of comparable securities or discounted cash flow analyses, incorporating inputs that are currently observable in the markets for similar securities. Inputs that are often used in the valuation methodologies include benchmark yields, reported trades, credit spreads, broker quotes, default rates and prepayment speeds. The Company is responsible for the determination of fair value and as such, the Company performs analysis on the prices received from the third party pricing service to determine whether the prices are reasonable estimates of fair value. The Company’s analysis includes a review of monthly price fluctuations as well as a quarterly comparison of the prices received from the pricing service to prices reported by the Company’s third party investment advisor. Based on the Company’s internal price verification procedures and review of fair value methodology documentation provided by the third party pricing service, there were no material adjustments to the prices obtained from the third party pricing service during the quarter ended September 30, 2016.

(5) Derivative Fair Values

Not Applicable.

B. Other Fair Value Disclosures

Not Applicable.

C. Fair Values for All Financial Instruments by Levels 1, 2 and 3

Type of Financial Instrument	Aggregate Fair Value	Admitted Assets	Level 1	Level 2	Level 3	Not Practicable (Carrying Value)
Bonds, short-term investments and cash equivalents	\$ 1,752,612,401	\$ 1,739,192,473	\$ 815,875,419	\$ 936,736,982	\$ -	\$ -

D. Financial Instruments for which Not Practicable to Estimate Fair Values

Not Applicable.

21. Other Items

A. Extraordinary Items

Not Applicable.

B. Troubled Debt Restructuring: Debtors

Not Applicable.

C. Other Disclosures and Unusual Items

Not Applicable.

D. Business Interruption Insurance Recoveries

Not Applicable.

E. State Transferable and Non-transferable Tax Credits

Not Applicable.

F. Subprime Mortgage Related Risk Exposure

(1) The Company consults with its external investment managers to assess its subprime mortgage related risk exposure. Certain characteristics are utilized to determine if a mortgage-backed security has subprime exposure. The main characteristics reviewed when determining this are the collateral and structure of the security, the loan purpose, loan documentation, occupancy, geographical location, loan size and type. Subprime mortgage borrowers typically have lower credit scores, lower loan balances and higher loan-to-values than other conforming loans. Management’s practices include reviewing quantitative and qualitative credit models that analyze loan-level collateral composition, historical underwriter performance trends, the impact of macroeconomic factors, and issuer risks; as well as reviewing the estimation of security cash flows and monthly model calibrations.

(2) Direct exposure through investments in sub-prime mortgage loans.

The Company has no direct exposure through investment to sub-prime mortgage loans.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

(3) Direct exposure through other investments:

- a. Residential mortgage backed securities – No substantial exposure noted.
- b. Commercial mortgage backed securities – No substantial exposure noted.
- c. Collateralized debt obligations – No substantial exposure noted.
- d. Structured securities – No substantial exposure noted.
- e. Equity investment in SCAs – No substantial exposure noted.
- f. Other assets – No substantial exposure noted.
- g. Total – No substantial exposure noted.

(4) Underwriting exposure to sub-prime mortgage risk through Mortgage Guaranty coverage, Financial Guaranty coverage, Directors and Officers liability coverage, or Errors and Omissions liability coverage.

Not Applicable.

Classification of mortgage related securities is primarily based on information from outside data services, including rating agency actions. When considering our exposure, the Company evaluated the percentage of full documentation loans, percent of owner occupied properties, FICO scores, average margin for ARM loans, percent of loans with prepayment penalties, the existence of non-traditional underwriting standards, among other factors.

G. Retained Assets

Not Applicable.

H. Insurance Linked Securities

Not Applicable.

22. Events Subsequent

The Company is not aware of any events or transactions occurring subsequent to the close of the books for this statement which may have a material effect on its financial condition. Subsequent events have been considered through November 10, 2016 for the Statutory Statement issued on November 10, 2016.

23. Reinsurance

A. Ceded Reinsurance Report

Section 1 – General Interrogatories

- (1) Are any of the reinsurers, listed in Schedule S as non-affiliated, owned in excess of 10.0 percent or controlled, either directly or indirectly, by the company or by any representative, officer, trustee, or director of the company?

Yes ( ) No ( X )

- (2) Have any policies issued by the company been reinsured with a company chartered in a country other than the United States (excluding U.S. Branches of such companies) that is owned in excess of 10.0 percent or controlled directly or indirectly by an insured, a beneficiary, a creditor or an insured or any other person not primarily engaged in the insurance business?

Yes ( ) No ( X )

Section 2 – Ceded Reinsurance Report – Part A

- (1) Does the company have any reinsurance agreements in effect under which the reinsurer may unilaterally cancel any reinsurance for reasons other than for nonpayment of premium or other similar credits?

Yes ( ) No ( X )

- (2) Does the reporting entity have any reinsurance agreements in effect such that the amount of losses paid or accrued through the statement date may result in a payment to the reinsurer of amounts that, in aggregate and allowing for offset of mutual credits from other reinsurance agreements with the same reinsurer, exceed the total direct premium collected under the reinsured policies?

Yes ( ) No ( X )

Section 3 – Ceded Reinsurance Report – Part B

- (1) What is the estimated amount of the aggregate reduction in surplus, (for agreements other than those under which the reinsurer may unilaterally cancel for reasons other than for nonpayment of premium or other similar credits that are reflected in Section 2 above) of termination of ALL reinsurance agreements, by either party, as of the date of this statement? Where necessary, the company may consider the current or anticipated experience of the business reinsured in making this estimate. \$0

- (2) Have any new agreements been executed or existing agreements amended, since January 1 of the year of this statement, to include policies or contracts that were in force or which had existing reserves established by the company as of the effective date of the agreement?

Yes ( ) No ( X )

B. Uncollectible Reinsurance

Not Applicable.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

C. Commutation of Ceded Reinsurance

Not Applicable.

D. Certified Reinsurer Rating Downgraded or Status Subject to Revocation

Not Applicable.

24. Retrospectively Rated Contracts and Contracts Subject to Redetermination

A. The Company estimates accrued retrospective premium adjustments for its Medicare business through a mathematical approach using an algorithm based upon settlement procedures defined by contracts with CMS.

The Company estimates accrued retrospective premium adjustments for its Commercial business based on experience to date, knowledge of the marketplace, and the terms of the risk corridors program with HHS.

B. The Company records accrued retrospective premium as an adjustment to earned premiums.

C. The amount of net premiums written by the Company at September 30, 2016 that are subject to retrospective rating features was \$5,255,827,340, or 95.88% of the total net premiums written. No other net premiums written by the Company are subject to retrospective rating features.

D. Medical loss ratio rebates required pursuant to the Public Health Service Act

	Individual	Small Group Employer	Large Group Employer	Other Categories with rebates	Total
Prior Reporting Year:					
Medical loss ratio rebates incurred	\$ -	\$ 109,065	\$ 2,218,040	\$ (6,329,474)	\$ (4,002,369)
Medical loss ratio rebates paid	-	144,890	2,494,422	-	2,639,312
Medical loss rebates unpaid	-	4,664	15,044	6,970,055	6,989,763
Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$ 6,989,763
Current Reporting Year-to-date:					
Medical loss ratio rebates incurred	\$ -	\$ 380,619	\$ (15,044)	\$ (1,972,568)	\$ (1,606,994)
Medical loss ratio rebates paid	-	194,152	-	-	194,152
Medical loss rebates unpaid	-	191,130	-	4,997,487	5,188,617
Plus reinsurance assumed amounts	XXX	XXX	XXX	XXX	-
Less reinsurance ceded amounts	XXX	XXX	XXX	XXX	-
Rebates unpaid net of reinsurance	XXX	XXX	XXX	XXX	\$ 5,188,617

E. Risk Sharing Provisions of the Affordable Care Act

(1) Did the reporting entity write accident and health insurance premium that is subject to the Affordable Care Act risk-sharing provisions

Yes ( X ) No ( )

(2) Impact of Risk Sharing Provisions of the Affordable Care Act on Admitted Assets, Liabilities, and Revenue for the Current Year

a. Permanent ACA Risk Adjustment Program

Assets

1. Premium adjustments receivable due to ACA Risk Adjustment \$ 21,205,242

Liabilities

2. Risk adjustment user fees payable for ACA Risk Adjustment \$ 100,346

3. Premium adjustments payable due to ACA Risk Adjustment \$ 6,410,030

Operations (Revenue & Expenses)

4. Reported as revenue in premium for accident and health contracts (written/collected) due to ACA Risk Adjustment \$ 14,046,572

5. Reported in expenses as ACA risk adjustment user fees (incurred/paid) \$ 104,823

b. Transitional ACA Reinsurance Program

Assets

1. Amounts recoverable for claims paid due to ACA Reinsurance \$ 6,651,464

2. Amounts recoverable for claims unpaid due to ACA Reinsurance (Contra Liability) \$ 919,367

3. Amounts receivable relating to uninsured plans for contributions for ACA Reinsurance \$ 58,064

Liabilities

4. Liabilities for contributions payable due to ACA Reinsurance – not reported as ceded premium \$ 6,614,584

5. Ceded reinsurance premiums payable due to ACA Reinsurance \$ 464,337

6. Liabilities for amounts held under uninsured plans contributions for ACA Reinsurance \$ 998,369

Operations (Revenues & Expenses)

7. Ceded reinsurance premiums due to ACA Reinsurance \$ 464,337

8. Reinsurance recoveries (income statement) due to ACA Reinsurance payments or expected payments \$ 3,014,459

9. ACA Reinsurance contributions – not reported as ceded premiums \$ 4,082,924

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

c. Temporary ACA Risk Corridors Program			
Assets			
1.	Accrued retrospective premium due to ACA Risk Corridors	\$	-
Liabilities			
2.	Reserve for rate credits or policy experience rating refunds due to ACA Risk Corridors	\$	-
Operations (Revenues & Expenses)			
3.	Effect of ACA Risk Corridors on net premium income	\$	169,621
4.	Effect of ACA Risk Corridors on change in reserves for rate credits	\$	3,822,722

(3) ACA Risk Corridor Receivable by Program Year

	(A)	(B)	(C)	(D)=(A)-(B)-(C)	(E)	(F) = (D)-(E)
Risk Corridors Program Year	Estimated Amount to be Filed or Final Amount Filed with CMS	Non-Accrued Amounts for Impairment or Other Reasons	Amounts received from CMS	Assets Balance (Gross of Non-admissions)	Non-admitted Amount	Net Admitted Asset
2014	\$ 11,865,338	\$ -	\$ 1,454,777	\$ 10,410,561	\$ 10,410,561	\$ -
2015	5,541,530	-	-	5,541,530	5,541,530	-
2016	5,326,821	-	-	5,326,821	5,326,821	-
Total	\$ 22,733,689	\$ -	\$ 1,454,777	\$ 21,278,912	\$ 21,278,912	\$ -

(4) Roll-forward of Prior Year ACA Risk-sharing Provisions for the Following Asset (Gross of Any Nonadmission) and Liability Balances, Along with the Reasons for Adjustments to Prior Year Balance.

Accrued During the Prior Year on Business Written Before December 31 of the Prior Year		Received or Paid as of the Current Year on Business Written Before December 31 of the Prior Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
				Prior Year Accrued Less Payments (Col 1-3)	Prior Year Accrued Less Payments (Col 2-4)	To Prior Year Balances	To Prior Year Balances		Cumulative Balance from Prior Years (Col 1-3+7)	Cumulative Balance from Prior Years (Col 2-4+8)
				5	6	7	8		9	10
1	2	3	4	5	6	7	8		9	10
Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
a. Permanent ACA Risk Adjustment Program										
1.	Premium adjustments receivable	8,168,157	8,863,806	(695,649)		3,126,411		A.	2,430,762	
2.	Premium adjustments (payables)	(4,614,585)	(6,172,043)		1,557,458		(1,557,458)	B.		-
3.	Subtotal ACA Permanent Risk Adjustment Program	8,168,157	(4,614,585)	8,863,806	(6,172,043)	(695,649)	1,557,458	3,126,411	(1,557,458)	2,430,762
b. Transitional ACA Reinsurance Program										
1.	Amounts recoverable for claims paid	16,063,485	13,840,881		2,222,604		(524,611)		C.	1,697,993
2.	Amounts recoverable for claims unpaid (contra liability)	2,333,768	-		2,333,768		(2,333,768)		D.	-
3.	Amounts receivable relating to uninsured plans	106,011	47,947		58,064		-			58,064
4.	Liabilities for contributions payable due to ACA Reinsurance- not reported as ceded premium	(9,268,545)	(6,736,886)		(2,531,659)		-			(2,531,659)
5.	Ceded reinsurance premiums payable	(854,988)	(854,988)		-		-			-
6.	Liability for amounts held under uninsured plans	(1,303,625)	(991,088)		(312,537)		-			(312,537)
7.	Subtotal ACA Transitional Reinsurance Program	18,503,264	(11,427,158)	13,888,828	(8,582,962)	4,614,436	(2,844,196)	(2,858,379)	-	1,756,057
c. Temporary ACA Risk Corridors Program										
1.	Accrued retrospective premium	17,456,190	169,621		17,286,569		(1,334,478)		E.	15,952,091
2.	Reserve for rate credits or policy experience rating refunds	-	-		-		-			-
3.	Subtotal ACA Risk Corridors Program	17,456,190	-	169,621	-	17,286,569	-	(1,334,478)	-	15,952,091
d. Total for ACA Risk Sharing Provisions										
	44,127,611	(16,041,743)	22,922,255	(14,755,005)	21,205,356	(1,286,738)	(1,066,446)	(1,557,458)	20,138,910	(2,844,196)

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

- Explanation for adjustments
- A. Adjustment booked to the CRA Receivable in order to reflect the sequestered amount CMS is withholding for appeals.
- B. Adjustment booked to write-off the remaining balance as no more payments are due to CMS for prior years.
- C. Adjustment booked to the Reinsurance Recoverable in order to reflect the sequestered amount CMS is withholding for appeals.
- D. IBNR reduced to zero as we do not expect significant paid claims with Reinsurance after Q1 2016.
- E. Adjustments booked to reflect updated HCR Reinsurance Fees.
- F. Adjustments for revised Wakely analysis, changes to the estimated tax rate and changes to base earnings reflective of Risk Adjustment and Reinsurance 2014 restatements in 2015. The 2015 Risk Corridor balances were adjusted based on the calculated June CMS reconciliations.

(5) Roll-forward of Risk Corridors Asset (Gross of Any Nonadmission) and Liability Balances by Program Year

		Accrued as of December 31 of the Prior Reporting Year		Received or Paid as of the Current Period on Business Written for the Risk Corridors Program Year		Differences		Adjustments			Unsettled Balances as of the Reporting Date	
						Accrued Less Payments (Col 1 -3)	Accrued Less Payments (Col 2 -4)				Cumulative Balance (Col 1-3+7)	Cumulative Balance (Col 4-4+8)
		1	2	3	4	5	6	7	8		9	10
Risk Corridors Program Year		Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Receivable	(Payable)	Ref	Receivable	(Payable)
2014	Accrued retrospective premium Reserve for rate credits or policy experience rating refunds	10,580,182		169,621		10,410,561		-			10,410,561	
2015	Accrued retrospective premium Reserve for rate credits or policy experience rating refunds		-		-		-		-			-
	Accrued retrospective premium Reserve for rate credits or policy experience rating refunds	6,876,008		-		6,876,008		(1,334,478)		A	5,541,530	
2016	Accrued retrospective premium Reserve for rate credits or policy experience rating refunds		-		-		-		-			-
	Accrued retrospective premium Reserve for rate credits or policy experience rating refunds	-		-		-		-			-	
Total for Risk Corridors		17,456,190	-	169,621	-	17,286,569	-	(1,334,478)	-		15,952,091	-

- Explanation for adjustments
- A. Adjustments for revised Wakely analysis, changes to the estimated tax rate and changes to base earnings reflective of Risk Adjustment and Reinsurance 2014 restatements in 2015. The 2015 Risk Corridor balances were adjusted based on the calculated June CMS reconciliations.

25. Change in Incurred Claims and Claim Adjustment Expenses

Reserves as of December 31, 2015 were \$493,561,231. As of September 30, 2016, \$451,619,987 has been paid for incurred claims and claim adjustment expenses attributable to insured events of prior years. Reserves remaining for prior years are now \$13,254,872 as a result of re-estimation of unpaid claims and claim adjustment expenses. Therefore, there has been a \$28,686,372 favorable prior-year development since December 31, 2015. The decrease is generally the result of ongoing analysis of recent loss development trends. Original estimates are increased or decreased as additional information becomes known regarding individual claims. The amounts presented in this footnote exclude any impact related to Pharmacy Rebates and other Healthcare Receivable activity. Impact of such receivables can be seen in Footnote 28. The Company did not experience any material prior year claim development on retrospectively rated policies.

26. Intercompany Pooling Arrangements

Not Applicable.

27. Structured Settlements

The Company has no structured settlements.

STATEMENT AS OF September 30, 2016 OF Humana Health Plan, Inc.

NOTES TO THE FINANCIAL STATEMENTS

28. Health Care Receivables

A. Pharmaceutical Rebate Receivables

Quarter	Estimate Pharmacy Rebates as Reported on Financial Statements	Pharmacy Rebates as Billed or Otherwise Confirmed	Actual Rebates Received Within 90 Days of Billing	Actual Rebates Received Within 91 to 180 Days of Billing	Actual Rebates Received More than 181 Days after Billing
12/31/2016	\$ -	\$ -	\$ -	\$ -	\$ -
9/30/2016	68,793,371	68,793,371	-	-	-
6/30/2016	61,363,859	61,363,859	61,293,162	-	-
3/31/2016	61,298,080	61,298,080	61,264,825	-	-
12/31/2015	51,003,828	51,003,828	51,003,828	-	-
9/30/2015	59,256,290	59,256,290	58,831,264	277,324	147,702
6/30/2015	50,089,185	50,089,185	50,026,598	-	24,392
3/31/2015	46,293,602	46,293,602	46,278,466	-	15,136
12/31/2014	32,047,007	32,047,007	31,782,253	213,815	50,939
9/30/2014	30,131,551	30,131,551	29,988,164	-	143,387
6/30/2014	30,632,141	30,632,141	30,263,792	130,180	238,168
3/31/2014	30,401,818	30,401,818	29,400,975	546,383	454,460

B. Risk Sharing Receivables

No material change since year-end December 31, 2015.

29. Participating Policies

The Company has no participating policies.

30. Premium Deficiency Reserves

1. Liability carried for premium deficiency reserves \$ 27,392,540
2. Date of the most recent evaluation of this liability September 30, 2016
3. Was anticipated investment income utilized in the calculation? Yes ( ) No ( X )

The Company did recognize the time value of money by discounting future losses at an annual interest rate of 0.30%.

31. Anticipated Salvage and Subrogation

Not Applicable.

GENERAL INTERROGATORIES

PART 1 - COMMON INTERROGATORIES

GENERAL

1.1

Did the reporting entity experience any material transactions requiring the filing of Disclosure of Material Transactions with the State of Domicile, as required by the Model Act?

Yes ☐ No ☒

1.2

If yes, has the report been filed with the domiciliary state?

Yes ☐ No ☐

2.1

Has any change been made during the year of this statement in the charter, by-laws, articles of incorporation, or deed of settlement of the reporting entity?

Yes ☐ No ☒

2.2

If yes, date of change:

3.1

Is the reporting entity a member of an Insurance Holding Company System consisting of two or more affiliated persons, one or more of which is an insurer?  
If yes, complete Schedule Y, Parts 1 and 1A.

Yes ☒ No ☐

3.2

Have there been any substantial changes in the organizational chart since the prior quarter end?

Yes ☐ No ☒

3.3

If the response to 3.2 is yes, provide a brief description of those changes.

4.1

Has the reporting entity been a party to a merger or consolidation during the period covered by this statement?

Yes ☐ No ☒

4.2

If yes, provide the name of the entity, NAIC Company Code, and state of domicile (use two letter state abbreviation) for any entity that has ceased to exist as a result of the merger or consolidation.

1 Name of Entity	2 NAIC Company Code	3 State of Domicile

5.

If the reporting entity is subject to a management agreement, including third-party administrator(s), managing general agent(s), attorney-in-fact, or similar agreement, have there been any significant changes regarding the terms of the agreement or principals involved?

Yes ☐ No ☒ N/A ☐

6.1

State as of what date the latest financial examination of the reporting entity was made or is being made.

12/31/2013

6.2

State the as of date that the latest financial examination report became available from either the state of domicile or the reporting entity. This date should be the date of the examined balance sheet and not the date the report was completed or released.

12/31/2015

6.3

State as of what date the latest financial examination report became available to other states or the public from either the state of domicile or the reporting entity. This is the release date or completion date of the examination report and not the date of the examination (balance sheet date).

09/30/2015

6.4

By what department or departments?  
Commonwealth of Kentucky Department of Insurance

6.5

Have all financial statement adjustments within the latest financial examination report been accounted for in a subsequent financial statement filed with Departments?

Yes ☒ No ☐ N/A ☐

6.6

Have all of the recommendations within the latest financial examination report been complied with?

Yes ☒ No ☐ N/A ☐

7.1

Has this reporting entity had any Certificates of Authority, licenses or registrations (including corporate registration, if applicable) suspended or revoked by any governmental entity during the reporting period?

Yes ☐ No ☒

7.2

If yes, give full information:

8.1

Is the company a subsidiary of a bank holding company regulated by the Federal Reserve Board?

Yes ☐ No ☒

8.2

If response to 8.1 is yes, please identify the name of the bank holding company.

8.3

Is the company affiliated with one or more banks, thrifts or securities firms?

Yes ☐ No ☒

8.4

If response to 8.3 is yes, please provide below the names and location (city and state of the main office) of any affiliates regulated by a federal regulatory services agency [i.e. the Federal Reserve Board (FRB), the Office of the Comptroller of the Currency (OCC), the Federal Deposit Insurance Corporation (FDIC) and the Securities Exchange Commission (SEC)] and identify the affiliate's primary federal regulator.

1 Affiliate Name	2 Location (City, State)	3 FRB	4 OCC	5 FDIC	6 SEC

GENERAL INTERROGATORIES

- 9.1

Are the senior officers (principal executive officer, principal financial officer, principal accounting officer or controller, or persons performing similar functions) of the reporting entity subject to a code of ethics, which includes the following standards? (a) Honest and ethical conduct, including the ethical handling of actual or apparent conflicts of interest between personal and professional relationships; (b) Full, fair, accurate, timely and understandable disclosure in the periodic reports required to be filed by the reporting entity; (c) Compliance with applicable governmental laws, rules and regulations; (d) The prompt internal reporting of violations to an appropriate person or persons identified in the code; and (e) Accountability for adherence to the code.

Yes [ X ] No [ ]
- 9.11

If the response to 9.1 is No, please explain:
- 9.2

Has the code of ethics for senior managers been amended?

Yes [ X ] No [ ]
- 9.21

If the response to 9.2 is Yes, provide information related to amendment(s).  
Revised based on general policy and regulatory changes
- 9.3

Have any provisions of the code of ethics been waived for any of the specified officers?

Yes [ ] No [ X ]
- 9.31

If the response to 9.3 is Yes, provide the nature of any waiver(s).

FINANCIAL

- 10.1

Does the reporting entity report any amounts due from parent, subsidiaries or affiliates on Page 2 of this statement?

Yes [ X ] No [ ]
- 10.2

If yes, indicate any amounts receivable from parent included in the Page 2 amount:

\$ 5,333,549

INVESTMENT

- 11.1

Were any of the stocks, bonds, or other assets of the reporting entity loaned, placed under option agreement, or otherwise made available for use by another person? (Exclude securities under securities lending agreements.)

Yes [ ] No [ X ]
- 11.2

If yes, give full and complete information relating thereto:
12.

Amount of real estate and mortgages held in other invested assets in Schedule BA:

\$ 0
13.

Amount of real estate and mortgages held in short-term investments:

\$ 0
- 14.1

Does the reporting entity have any investments in parent, subsidiaries and affiliates?

Yes [ X ] No [ ]
- 14.2

If yes, please complete the following:

	1 Prior Year-End Book/Adjusted Carrying Value	2 Current Quarter Book/Adjusted Carrying Value
14.21 Bonds	\$ 0	\$ 0
14.22 Preferred Stock	\$ 0	\$ 0
14.23 Common Stock	\$ 23,959,920	\$ 21,445,757
14.24 Short-Term Investments	\$ 0	\$ 0
14.25 Mortgage Loans on Real Estate	\$ 0	\$ 0
14.26 All Other	\$ 0	\$ 0
14.27 Total Investment in Parent, Subsidiaries and Affiliates (Subtotal Lines 14.21 to 14.26)	\$ 23,959,920	\$ 21,445,757
14.28 Total Investment in Parent included in Lines 14.21 to 14.26 above	\$ 0	\$ 0
- 15.1

Has the reporting entity entered into any hedging transactions reported on Schedule DB?

Yes [ ] No [ X ]
- 15.2

If yes, has a comprehensive description of the hedging program been made available to the domiciliary state?  
If no, attach a description with this statement.

Yes [ ] No [ ]



STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

GENERAL INTERROGATORIES

16. For the reporting entity's security lending program, state the amount of the following as of the current statement date:
- 16.1 Total fair value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2.

16.2 Total book adjusted/carrying value of reinvested collateral assets reported on Schedule DL, Parts 1 and 2.

16.3 Total payable for securities lending reported on the liability page.
- \$

\$

\$
- 0

0

0

17. Excluding items in Schedule E - Part 3 - Special Deposits, real estate, mortgage loans and investments held physically in the reporting entity's offices, vaults or safety deposit boxes, were all stocks, bonds and other securities, owned throughout the current year held pursuant to a custodial agreement with a qualified bank or trust company in accordance with Section 1, III - General Examination Considerations, F. Outsourcing of Critical Functions, Custodial or Safekeeping Agreements of the NAIC Financial Condition Examiners Handbook?
- Yes
- X
- No
- 

- 17.1 For all agreements that comply with the requirements of the NAIC Financial Condition Examiners Handbook, complete the following:

1 Name of Custodian(s)	2 Custodian Address
JP Morgan Chase	4 Metro Tech Center, 16th Floor Mail Code: NY1-C512, Brooklyn, NY 11245, Attn: Barbara J. Walsh

- 17.2 For all agreements that do not comply with the requirements of the NAIC Financial Condition Examiners Handbook, provide the name, location and a complete explanation:

1 Name(s)	2 Location(s)	3 Complete Explanation(s)

- 17.3 Have there been any changes, including name changes, in the custodian(s) identified in 17.1 during the current quarter?
- Yes
- 
- No
- X

- 17.4 If yes, give full information relating thereto:

1 Old Custodian	2 New Custodian	3 Date of Change	4 Reason

- 17.5 Identify all investment advisors, brokers/dealers or individuals acting on behalf of broker/dealers that have access to the investment accounts, handle securities and have authority to make investments on behalf of the reporting entity:

1 Central Registration Depository	2 Name(s)	3 Address
107105.00	Blackrock, Inc.	55 East 52nd Street, New York, NY 10055

- 18.1 Have all the filing requirements of the Purposes and Procedures Manual of the NAIC Investment Analysis Office been followed?
- Yes
- X
- No
- 

- 18.2 If no, list exceptions:
- N/A

GENERAL INTERROGATORIES

PART 2 - HEALTH

1.

Operating Percentages:

1.1 A&H loss percent

89.2 %

1.2 A&H cost containment percent

3.3 %

1.3 A&H expense percent excluding cost containment expenses

10.3 %
- 2.1

Do you act as a custodian for health savings accounts?

Yes [ ] No [ X ]
- 2.2

If yes, please provide the amount of custodial funds held as of the reporting date

\$0
- 2.3

Do you act as an administrator for health savings accounts?

Yes [ ] No [ X ]
- 2.4

If yes, please provide the balance of the funds administered as of the reporting date

\$0

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

## SCHEDULE S - CEDED REINSURANCE

Showing All New Reinsurance Treaties - Current Year to Date

[illegible]

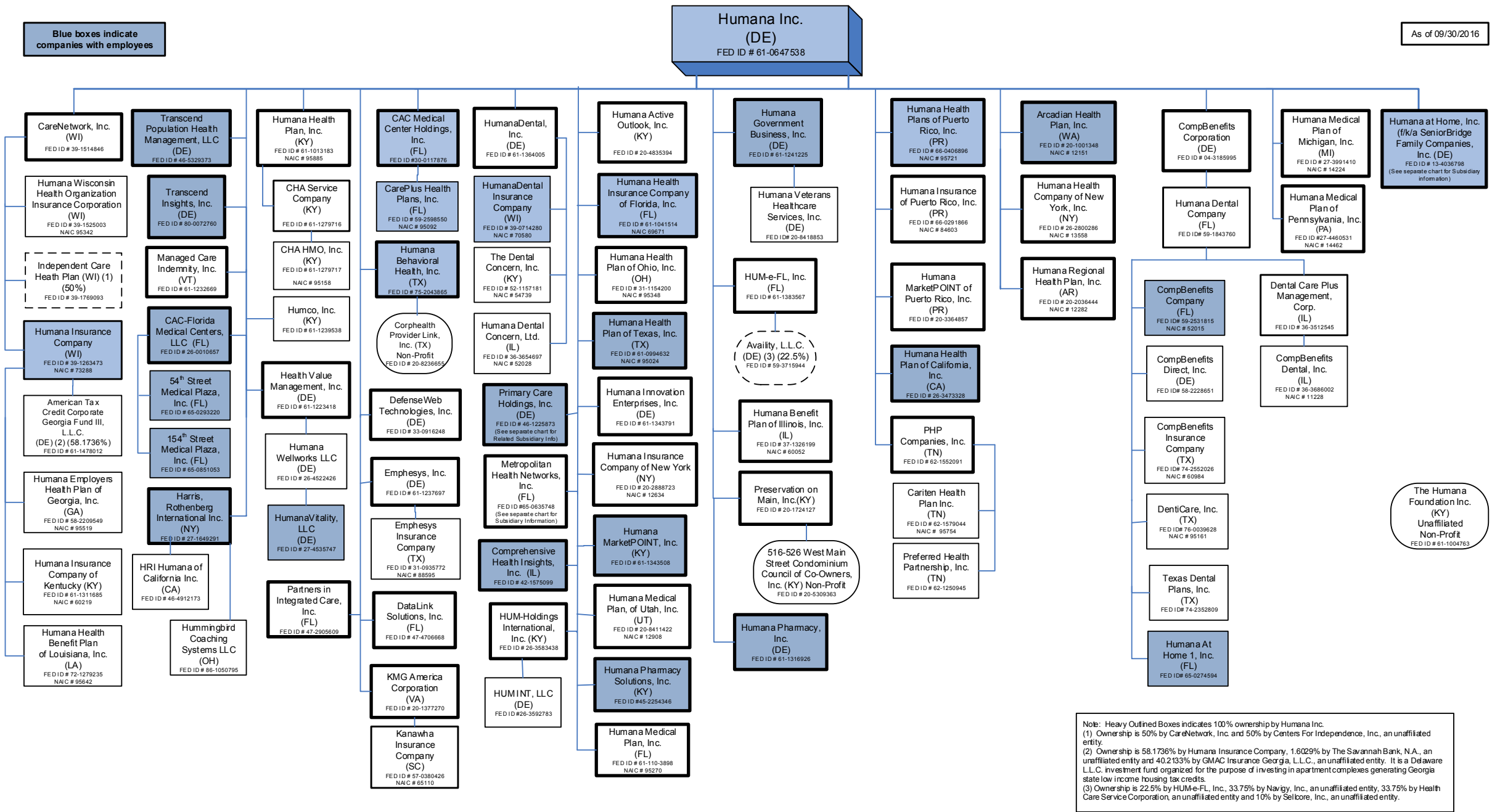
SCHEDULE T - PREMIUMS AND OTHER CONSIDERATIONS

Current Year to Date - Allocated by States and Territories										
States, etc.	1	Direct Business Only								
		2	3	4	5	6	7	8	9	
	Active Status	Accident and Health Premiums	Medicare Title XVIII	Medicaid Title XIX	Federal Employees Health Benefits Program Premiums	Life and Annuity Premiums & Other Considerations	Property/Casualty Premiums	Total Columns 2 Through 7	Deposit-Type Contracts	
1. Alabama	AL	L	0	164,373,636	0	0	0	164,373,636	0	
2. Alaska	AK	N	0	0	0	0	0	0	0	
3. Arizona	AZ	L	62,693,883	280,933,195	0	10,185,734	0	353,812,812	0	
4. Arkansas	AR	L	0	241,444,781	0	0	0	241,444,781	0	
5. California	CA	N	0	0	0	0	0	0	0	
6. Colorado	CO	L	96,261,235	130,337,387	0	2,123,816	0	228,722,438	0	
7. Connecticut	CT	N	0	0	0	0	0	0	0	
8. Delaware	DE	N	0	0	0	0	0	0	0	
9. District of Columbia	DC	N	0	0	0	0	0	0	0	
10. Florida	FL	N	0	0	0	0	0	0	0	
11. Georgia	GA	N	0	0	0	0	0	0	0	
12. Hawaii	HI	N	0	0	0	0	0	0	0	
13. Idaho	ID	L	0	24,576,492	0	0	0	24,576,492	0	
14. Illinois	IL	L	59,825,617	515,449,729	122,396,309	53,617,556	0	751,289,211	0	
15. Indiana	IN	L	15,549,611	203,623,434	0	0	0	219,173,045	0	
16. Iowa	IA	N	0	0	0	0	0	0	0	
17. Kansas	KS	L	4,846,564	161,778,901	0	19,375,615	0	186,001,080	0	
18. Kentucky	KY	L	406,134,911	102,649,346	587,319,395	6,351,945	0	1,102,455,597	0	
19. Louisiana	LA	N	0	0	0	0	0	0	0	
20. Maine	ME	N	0	0	0	0	0	0	0	
21. Maryland	MD	N	0	0	0	0	0	0	0	
22. Massachusetts	MA	N	0	0	0	0	0	0	0	
23. Michigan	MI	N	0	0	0	0	0	0	0	
24. Minnesota	MN	N	0	0	0	0	0	0	0	
25. Mississippi	MS	N	0	0	0	0	0	0	0	
26. Missouri	MO	L	1,522,936	375,920,231	0	0	0	377,443,167	0	
27. Montana	MT	N	0	0	0	0	0	0	0	
28. Nebraska	NE	L	0	12,018,789	0	0	0	12,018,789	0	
29. Nevada	NV	L	1,892,084	452,457,563	0	0	0	454,349,648	0	
30. New Hampshire	NH	N	0	0	0	0	0	0	0	
31. New Jersey	NJ	N	0	0	0	0	0	0	0	
32. New Mexico	NM	L	0	40,530,254	0	0	0	40,530,254	0	
33. New York	NY	N	0	0	0	0	0	0	0	
34. North Carolina	NC	N	0	0	0	0	0	0	0	
35. North Dakota	ND	N	0	0	0	0	0	0	0	
36. Ohio	OH	L	0	0	0	0	0	0	0	
37. Oklahoma	OK	N	0	0	0	0	0	0	0	
38. Oregon	OR	N	0	0	0	0	0	0	0	
39. Pennsylvania	PA	N	0	0	0	0	0	0	0	
40. Rhode Island	RI	N	0	0	0	0	0	0	0	
41. South Carolina	SC	L	0	389,812,168	0	0	0	389,812,168	0	
42. South Dakota	SD	N	0	0	0	0	0	0	0	
43. Tennessee	TN	L	17,568,845	0	0	1,168,242	0	18,737,088	0	
44. Texas	TX	L	0	834,584,424	0	0	0	834,584,424	0	
45. Utah	UT	N	0	0	0	0	0	0	0	
46. Vermont	VT	N	0	0	0	0	0	0	0	
47. Virginia	VA	L	0	401,504,402	93,571,673	0	0	495,076,075	0	
48. Washington	WA	L	0	170,209,487	0	0	0	170,209,487	0	
49. West Virginia	WV	L	0	0	0	0	0	0	0	
50. Wisconsin	WI	N	0	0	0	0	0	0	0	
51. Wyoming	WY	N	0	0	0	0	0	0	0	
52. American Samoa	AS	N	0	0	0	0	0	0	0	
53. Guam	GU	N	0	0	0	0	0	0	0	
54. Puerto Rico	PR	N	0	0	0	0	0	0	0	
55. U.S. Virgin Islands	VI	N	0	0	0	0	0	0	0	
56. Northern Mariana Islands	MP	N	0	0	0	0	0	0	0	
57. Canada	CAN	N	0	0	0	0	0	0	0	
58. Aggregate Other Aliens	OT	XXX	0	0	0	0	0	0	0	
59. Subtotal	XXX	666,295,687	4,502,204,221	803,287,376	92,822,908	0	0	6,064,610,192	0	
60. Reporting Entity Contributions for Employee Benefit Plans	XXX	0	0	0	0	0	0	0	0	
61. Totals (Direct Business)	(a) 20	666,295,687	4,502,204,221	803,287,376	92,822,908	0	0	6,064,610,192	0	
DETAILS OF WRITE-INS										
58001.	XXX									
58002.	XXX									
58003.	XXX									
58998. Summary of remaining write-ins for Line 58 from overflow page	XXX	0	0	0	0	0	0	0	0	
58999. Totals (Lines 58001 through 58003 plus 58998)(Line 58 above)	XXX	0	0	0	0	0	0	0	0	

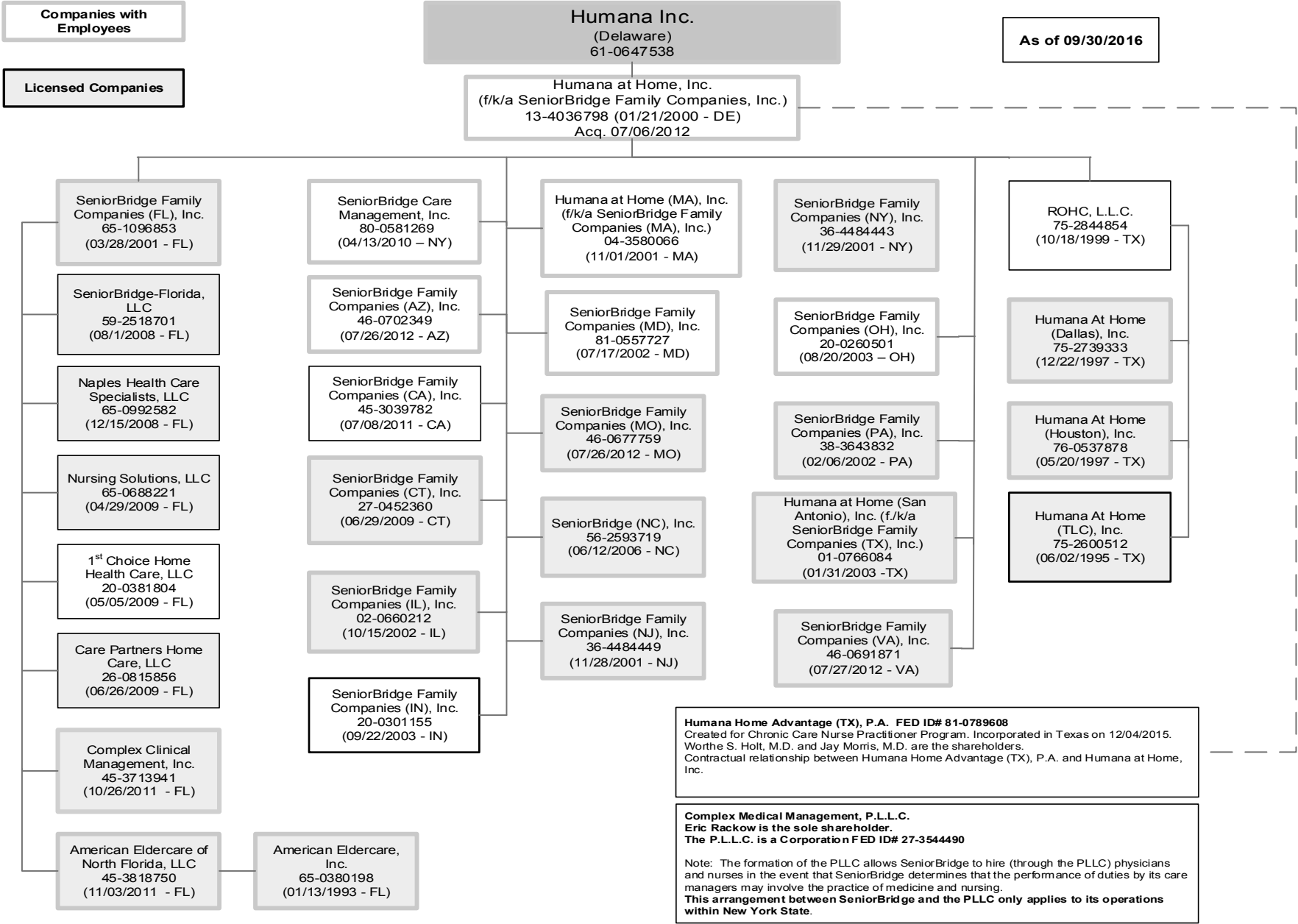
(L) Licensed or Chartered - Licensed Insurance Carrier or Domiciled RRG; (R) Registered - Non-domiciled RRGs; (Q) Qualified - Qualified or Accredited Reinsurer; (E) Eligible - Reporting Entities eligible or approved to write Surplus Lines in the state; (N) None of the above - Not allowed to write business in the state.  
(a) Insert the number of L responses except for Canada and Other Alien.

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

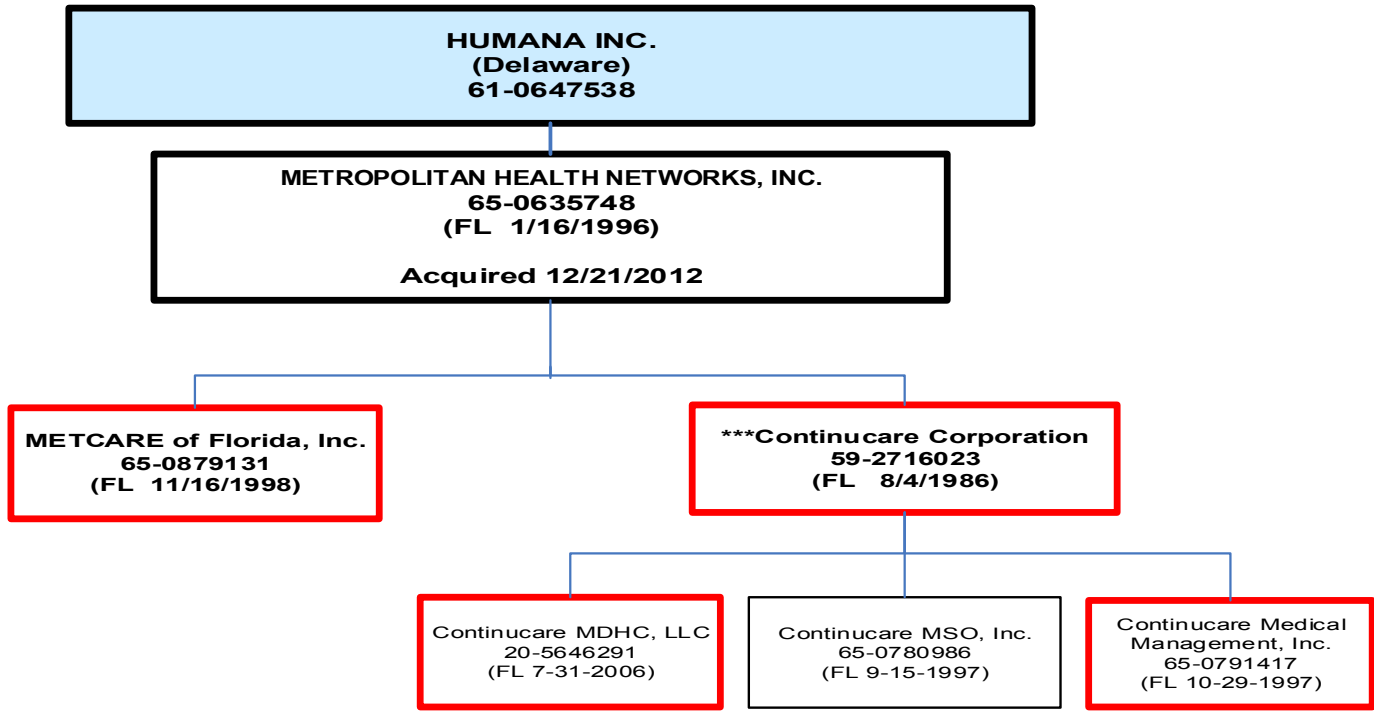
15



STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.



As of 09-30-2016



**Employees**

Premier Sleep Services, LLC (a North Carolina entity) has been merged into its parent Seredor Corporation (a Florida entity) effective 08.31.2016.

\*\*\* Continucare Managed Care, Inc., CNU Blue 2, LLC and Seredor Corporation (all Florida entities) have been merged into their parent Continucare Corporation (a Florida entity) effective 09.30.2016.

**SCHEDULE Y**  
**PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM**

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
0119	Humana Inc.	00000	65-0851053				154th Street Medical Plaza, Inc.	FL	NIA	CAC-Florida Medical Centers, LLC SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-0381804				1st Choice Home Health Care, LLC 515-526 W MainSt Condo Council of Co-Owners	FL	NIA		Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-5309363					KY	NIA	Preservation on Main, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0293220				54th Street Medical Plaza, Inc.	FL	NIA	CAC-Florida Medical Centers, LLC SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	45-3818750				American Eldercare of North Florida, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0380198				American Eldercare, Inc.	FL	NIA		Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	12151	20-1001348				Arcadian Health Plan, Inc.	WA	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	59-3715944				Availity, L.L.C.	DE	OTH	See Footnote 1	Board of Directors	0.000	Humana Inc.	1
0119	Humana Inc.	00000	30-0117876				CAC Medical Center Holdings, Inc.	FL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	26-0010657				CAC-Florida Medical Centers, LLC	FL	NIA	Humana Inc. SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	26-0815856				Care Partners Home Care, LLC	FL	NIA		Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	39-1514846				CareNetwork, Inc.	WI	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95092	59-2598550				CarePlus Health Plans, Inc.	FL	IA	CAC Medical Center Holdings, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95754	62-1579044				Cariten Health Plan Inc.	TN	IA	PHP Companies, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95158	61-1279717				CHA HMO, Inc.	KY	DS	CHA Service Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1279716				CHA Service Company	KY	DS	Humana Health Plan, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	52015	59-2531815				CompBenefits Company	FL	IA	Humana Dental Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	04-3185995				CompBenefits Corporation	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	11228	36-3686002				CompBenefits Dental, Inc.	IL	IA	Dental Care Plus Management Corporation	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	58-2228851				CompBenefits Direct, Inc.	DE	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	60984	74-2552026				CompBenefits Insurance Company	TX	IA	Humana Dental Company SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	45-3713941				Complex Clinical Management, Inc.	FL	NIA		Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	42-1575099				Comprehensive Health Insights, Inc.	IL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	59-2716023				Continucare Corporation	FL	NIA	Metropolitan Health Networks, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-5646291				Continucare MDHC, LLC	FL	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0791417				Continucare Medical Management, Inc.	FL	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0780986				Continucare MSO, Inc.	FL	NIA	Continucare Corporation	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-8236655				Corphealth Provider Link, Inc.	TX	NIA	Corphealth, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	75-2043865				Humana Behavioral Health, Inc.	TX	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	33-0916248				DefenseWeb Technologies, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	36-3512545				Dental Care Plus Management Corp.	IL	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95161	76-0039628				DentiCare, Inc.	TX	IA	Humana Dental Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	88595	31-0935772				Emphesys Insurance Company	TX	IA	Emphesys, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1237697				Emphesys, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	27-1649291				Harris, Rothenberg International Inc.	NY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1223418				Health Value Management, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	46-4912173				HRI Humana of California Inc.	CA	NIA	Harris, Rothenberg International Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	26-3592783				HUM INT, LLC	DE	NIA	HUM-Holdings International, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-4835394				Humana Active Outlook, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	75-2739333				Humana At Home (Dallas), Inc.	TX	NIA	ROHC, L.L.C.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	76-0537878				Humana At Home (Houston), Inc.	TX	NIA	ROHC, L.L.C.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	04-3580066				Humana at Home (MA), Inc.	MA	NIA	Humana at Home, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0274594				Humana At Home 1, Inc.	FL	NIA	Humana Dental Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	13-4036798				Humana at Home, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	60052	37-1326199				Humana Benefit Plan of Illinois, Inc.	IL	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0



**SCHEDULE Y**  
**PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM**

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domiciliary Location	Relationship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Ownership Provide Percentage	Ultimate Controlling Entity(ies)/Person(s)	*
0119	Humana Inc.	00000	59-1843760				Humana Dental Company	FL	NIA	CompBenefits Corporation	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	52028	36-3654697				Humana Dental Concern, Ltd.	IL	IA	HumanaDental, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95519	58-2209549				Humana Employers Health Plan of GA. Inc.	GA	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1241225				Humana Government Business, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95642	72-1279235				Humana Health Benefit Plan of LA, Inc.	LA	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	13558	26-2800286				Humana Health Company of New York, Inc.	NY	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	69671	61-1041514				Humana Health Ins. Co. of Florida, Inc.	FL	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	26-3473328				Humana Health Plan of California, Inc.	CA	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95348	31-1154200				Humana Health Plan of Ohio, Inc.	OH	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95024	61-0994632				Humana Health Plan of Texas, Inc.	TX	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95885	61-1013183				Humana Health Plan, Inc.	KY	RE	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95721	66-0406896				Humana Health Plans of Puerto Rico, Inc.	PR	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-0647538		NYSE		Humana Inc.	DE	UDP		Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1343791				Humana Innovation Enterprises, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	73288	39-1263473				Humana Insurance Company	WI	IA	CareNetwork, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	60219	61-1311685				Humana Insurance Company of Kentucky	KY	IA	Humana Insurance Company	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	12634	20-2888723				Humana Insurance Company of New York	NY	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	84603	66-0291866				Humana Insurance of Puerto Rico, Inc.	PR	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-3364857				Humana MarketPOINT of Puerto Rico, Inc.	PR	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1343508				Humana MarketPOINT, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	14224	27-3991410				Humana Medical Plan of Michigan, Inc.	MI	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	14462	27-4660531				Humana Medical Plan of Pennsylvania, Inc.	PA	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	12908	20-8411422				Humana Medical Plan of Utah, Inc.	UT	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95270	61-1103898				Humana Medical Plan, Inc.	FL	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	45-2254346				Humana Pharmacy Solutions, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1316926				Humana Pharmacy, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	12282	20-2036444				Humana Regional Health Plan, Inc.	AR	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-8418853				Humana Veterans Healthcare Services, Inc.	DE	NIA	Humana Government Business, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	26-4522426				Humana WellWorks LLC	DE	NIA	Health Value Management, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	95342	39-1525003				Humana Wisc. Health Org. Ins. Corp.	WI	IA	CareNetwork, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	70580	39-0714280				HumanaDental Insurance Company	WI	IA	HumanaDental, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1364005				HumanaDental, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	27-4535747				HumanaVitality, LLC	DE	NIA	HumanaWellworks LLC	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1239538				Humco, Inc.	KY	DS	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1383567				HUM-e-FL, Inc.	FL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	26-3583438				HUM-Holdings International, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	86-1050795				Hummingbird Coaching Systems LLC	OH	NIA	Humana Behavioral Health, Inc.,	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	39-1769093				Independent Care Health Plan	WI	OTH	See Footnote 2	Other	100.000	Humana Inc.	2
0119	Humana Inc.	65110	57-0380426				Kanawha Insurance Company	SC	IA	KMG America Corporation	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-1377270				KMG America Corporation	VA	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	61-1232669				Managed Care Indemnity, Inc.	VT	IA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0879131				METCARE of Florida, Inc.	FL	NIA	Metropolitan Health Networks, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0635728				Metropolitan Health Networks, Inc.	FL	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0992582				Naples Health Care Specialists, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	65-0688221				Nursing Solutions, LLC	FL	NIA	SeniorBridge Family Companies (FL), Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	62-1552091				PHP Companies, Inc.	TN	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	62-1250945				Preferred Health Partnership, Inc.	TN	NIA	PHP Companies, Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	20-1724127				Preservation on Main, Inc.	KY	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0
0119	Humana Inc.	00000	46-1225873				Primary Care Holdings, Inc.	DE	NIA	Humana Inc.	Ownership	100.000	Humana Inc.	0

SCHEDULE Y  
PART 1A - DETAIL OF INSURANCE HOLDING COMPANY SYSTEM

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Group Code	Group Name	NAIC Company Code	ID Number	Federal RSSD	CIK	Name of Securities Exchange if Publicly Traded (U.S. or International)	Names of Parent, Subsidiaries Or Affiliates	Domi-ciliary Location	Relation-ship to Reporting Entity	Directly Controlled by (Name of Entity/Person)	Type of Control (Ownership, Board, Management, Attorney-in-Fact, Influence, Other)	If Control is Owner-ship Provide Percen-tage	Ultimate Controlling Entity(ies)/Person(s)	*
...0119 ...	Humana Inc. ....	...00000 ...	75-2844854	.....	.....	.....	ROHC, L.L.C. ....	...TX.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	56-2593719	.....	.....	.....	SeniorBridge (NC), Inc. ....	...NC.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	80-0581269	.....	.....	.....	SeniorBridge Care Management, Inc. ....	...NY.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	46-0702349	.....	.....	.....	SeniorBridge Family Companies (AZ), Inc. ....	...AZ.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	45-3039782	.....	.....	.....	SeniorBridge Family Companies (CA), Inc. ....	...CA.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	27-0452360	.....	.....	.....	SeniorBridge Family Companies (CT), Inc. ....	...CT.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	65-1096853	.....	.....	.....	SeniorBridge Family Companies (FL), Inc. ....	...FL.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	02-0660212	.....	.....	.....	SeniorBridge Family Companies (IL), Inc. ....	...IL.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	20-0301155	.....	.....	.....	SeniorBridge Family Companies (IN), Inc. ....	...IN.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	81-0557727	.....	.....	.....	SeniorBridge Family Companies (MD), Inc. ....	...MD.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	46-0677759	.....	.....	.....	SeniorBridge Family Companies (MO), Inc. ....	...MO.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	36-4484449	.....	.....	.....	SeniorBridge Family Companies (NJ), Inc. ....	...NJ.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	36-4484443	.....	.....	.....	SeniorBridge Family Companies (NY), Inc. ....	...NY.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	20-0260501	.....	.....	.....	SeniorBridge Family Companies (OH), Inc. ....	...OH.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	38-3643832	.....	.....	.....	SeniorBridge Family Companies (PA), Inc. ....	...PA.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	01-0766084	.....	.....	.....	Humana At Home (San Antonio), Inc. ....	...TX.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	46-0691871	.....	.....	.....	SeniorBridge Family Companies (VA), Inc. ....	...VA.....	...NIA.....	Humana at Home, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	59-2518701	.....	.....	.....	SeniorBridge-Florida, LLC	...FL.....	...NIA.....	SeniorBridge Family Companies (FL), Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	74-2352809	.....	.....	.....	Texas Dental Plans, Inc. ....	...TX.....	...NIA.....	Humana Dental Company	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...54739 ...	52-1157181	.....	.....	.....	The Dental Concern, Inc. ....	...KY.....	...IA.....	HumanaDental, Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	75-2600512	.....	.....	.....	Humana at Home (TLC), Inc. ....	...TX.....	...NIA.....	ROHC, L.L.C. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	80-0072760	.....	.....	.....	Transcend Insights, Inc. ....	...DE.....	...NIA.....	Humana Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....
...0119 ...	Humana Inc. ....	...00000 ...	46-5329373	.....	.....	.....	Transcend Population Health Management, LLC	...DE.....	...NIA.....	Humana Inc. ....	Ownership.....	..100.000 ....	Humana Inc. ....	....0 .....

Asterisk	Explanation
1 .....	Availity, L.L.C., a Delaware limited liability company, was formed by affiliates of Humana Inc. and Blue Cross and Blue Shield of Florida, Inc. to develop and operate an Internet site on the World Wide Web to permit health plans to communicate and engage in electronic transactions with health care service providers initially in the State of Florida. HUM-e-FL, Inc., a subsidiary of Humana Inc., is a Member with a 22.5% ownership interest. Navigy, Inc., a subsidiary of Blue Cross and Blue Shield of Florida, Inc., is a Member with a 33.75% ownership interest, Health Care Service Corporation, a Member, has a 33.75% ownership interest, and Sellicore, Inc., a subsidiary of WellPoint and a Member, has a 10% ownership interest. ....
2 .....	Independent Care Health Plan, a Wisconsin corporation licensed as an HMO, operates an integrated, coordinated medical and social service managed care program for chronically disabled Medicaid recipients in Milwaukee, Wisconsin. CareNetwork, Inc. owns 50% of the company's stock. Centers For Independence, Inc. owns the other 50%. ....

SUPPLEMENTAL EXHIBITS AND SCHEDULES INTERROGATORIES

The following supplemental reports are required to be filed as part of your statement filing. However, in the event that your company does not transact the type of business for which the special report must be filed, your response of NO to the specific interrogatory will be accepted in lieu of filing a "NONE" report and a bar code will be printed below. If the supplement is required of your company but is not being filed for whatever reason enter SEE EXPLANATION and provide an explanation following the interrogatory questions.

Response

1. Will the Medicare Part D Coverage Supplement be filed with the state of domicile and the NAIC with this statement? .....

NO

Explanation:

1. This type of business is not written.

Bar Code:

1. Medicare Part D Coverage Supplement [Document Identifier 365]



STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

OVERFLOW PAGE FOR WRITE-INS

Additional Write-ins for Assets Line 25

		Current Statement Date			4 Prior Year Net Admitted Assets
		1	2	3	
		Assets	Nonadmitted Assets	Net Admitted Assets (Cols. 1 - 2)	
2504.	Federal Contingency Reserves .....	2,675,829	0	2,675,829	255,375
2505.	Deposits .....	2,587,533	2,587,533	0	0
2506.	Prepaid Expenses .....	516,226	516,226	0	0
2597.	Summary of remaining write-ins for Line 25 from overflow page	5,779,588	3,103,759	2,675,829	255,375

SCHEDULE A - VERIFICATION

Real Estate

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Current year change in encumbrances .....		
4. Total gain (loss) on disposals .....		
5. Deduct amounts received on disposals .....		
6. Total foreign exchange change in book/adjusted carrying value .....		
7. Deduct current year's other than temporary impairment recognized .....		
8. Deduct current year's depreciation .....		
9. Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8) .....		
10. Deduct total nonadmitted amounts .....		
11. Statement value at end of current period (Line 9 minus Line 10) .....		

SCHEDULE B - VERIFICATION

Mortgage Loans

	1 Year to Date	2 Prior Year Ended December 31
1. Book value/recorded investment excluding accrued interest, December 31 of prior year .....	27,600,000	27,600,000
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....	0	0
2.2 Additional investment made after acquisition .....	0	0
3. Capitalized deferred interest and other .....	0	0
4. Accrual of discount .....	0	0
5. Unrealized valuation increase (decrease) .....	0	0
6. Total gain (loss) on disposals .....	0	0
7. Deduct amounts received on disposals .....	0	0
8. Deduct amortization of premium and mortgage interest points and commitment fees .....	0	0
9. Total foreign exchange change in book value/recorded investment excluding accrued interest .....	0	0
10. Deduct current year's other than temporary impairment recognized .....	0	0
11. Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) .....	27,600,000	27,600,000
12. Total valuation allowance .....	0	0
13. Subtotal (Line 11 plus Line 12) .....	27,600,000	27,600,000
14. Deduct total nonadmitted amounts .....	0	0
15. Statement value at end of current period (Line 13 minus Line 14) .....	27,600,000	27,600,000

SCHEDULE BA - VERIFICATION

Other Long-Term Invested Assets

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....		
2. Cost of acquired:		
2.1 Actual cost at time of acquisition .....		
2.2 Additional investment made after acquisition .....		
3. Capitalized deferred interest and other .....		
4. Accrual of discount .....		
5. Unrealized valuation increase (decrease) .....		
6. Total gain (loss) on disposals .....		
7. Deduct amounts received on disposals .....		
8. Deduct amortization of premium and depreciation .....		
9. Total foreign exchange change in book/adjusted carrying value .....		
10. Deduct current year's other than temporary impairment recognized .....		
11. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10) .....		
12. Deduct total nonadmitted amounts .....		
13. Statement value at end of current period (Line 11 minus Line 12) .....		

SCHEDULE D - VERIFICATION

Bonds and Stocks

	1 Year to Date	2 Prior Year Ended December 31
1. Book/adjusted carrying value of bonds and stocks, December 31 of prior year .....	932,722,711	786,166,182
2. Cost of bonds and stocks acquired .....	467,739,891	780,709,895
3. Accrual of discount .....	138,137	545,821
4. Unrealized valuation increase (decrease) .....	(2,410,569)	(3,239,582)
5. Total gain (loss) on disposals .....	5,407,430	10,017,104
6. Deduct consideration for bonds and stocks disposed of .....	460,262,701	634,009,741
7. Deduct amortization of premium .....	10,644,142	7,466,968
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	932,690,757	932,722,711
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11) .....	932,690,757	932,722,711

SCHEDULE D - PART 1B

Showing the Acquisitions, Dispositions and Non-Trading Activity  
During the Current Quarter for all Bonds and Preferred Stock by NAIC Designation

NAIC Designation	1 Book/Adjusted Carrying Value Beginning of Current Quarter	2 Acquisitions During Current Quarter	3 Dispositions During Current Quarter	4 Non-Trading Activity During Current Quarter	5 Book/Adjusted Carrying Value End of First Quarter	6 Book/Adjusted Carrying Value End of Second Quarter	7 Book/Adjusted Carrying Value End of Third Quarter	8 Book/Adjusted Carrying Value December 31 Prior Year
BONDS								
1. NAIC 1 (a) .....	894,065,411	3,823,290,248	3,069,990,447	(3,858,773)	996,923,576	894,065,411	1,643,506,439	846,033,343
2. NAIC 2 (a) .....	79,301,216	20,923,117	10,609,790	985,877	75,926,209	79,301,216	90,600,420	70,775,362
3. NAIC 3 (a) .....	4,599,966	1,520,625	0	(1,034,977)	2,459,989	4,599,966	5,085,614	3,399,928
4. NAIC 4 (a) .....	0	0	0	0	0	0	0	0
5. NAIC 5 (a) .....	0	0	0	0	0	0	0	0
6. NAIC 6 (a) .....	0	0	0	0	0	0	0	0
7. Total Bonds	977,966,593	3,845,733,990	3,080,600,237	(3,907,873)	1,075,309,774	977,966,593	1,739,192,473	920,208,633
PREFERRED STOCK								
8. NAIC 1 .....	0	0	0	0	0	0	0	0
9. NAIC 2 .....	0	0	0	0	0	0	0	0
10. NAIC 3 .....	0	0	0	0	0	0	0	0
11. NAIC 4 .....	0	0	0	0	0	0	0	0
12. NAIC 5 .....	0	0	0	0	0	0	0	0
13. NAIC 6 .....	0	0	0	0	0	0	0	0
14. Total Preferred Stock .....	0	0	0	0	0	0	0	0
15. Total Bonds and Preferred Stock	977,966,593	3,845,733,990	3,080,600,237	(3,907,873)	1,075,309,774	977,966,593	1,739,192,473	920,208,633

(a) Book/Adjusted Carrying Value column for the end of the current reporting period includes the following amount of non-rated short-term and cash equivalent bonds by NAIC designation: NAIC 1 \$ .....827,947,473 ; NAIC 2 \$ .....0 ; NAIC 3 \$ .....0 ;  
NAIC 4 \$ .....0 ; NAIC 5 \$ .....0 ; NAIC 6 \$ .....0

SCHEDULE DA - PART 1

Short-Term Investments

	1	2	3	4	5
	Book/Adjusted Carrying Value	Par Value	Actual Cost	Interest Collected Year-to-Date	Paid for Accrued Interest Year-to-Date
9199999 Totals	192,985,463	xxx	193,004,705	231,099	88,279

SCHEDULE DA - VERIFICATION

Short-Term Investments

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	11,445,841	27,022,909
2. Cost of short-term investments acquired .....	4,230,387,188	4,892,963,427
3. Accrual of discount .....	0	0
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	0	0
6. Deduct consideration received on disposals .....	4,048,706,973	4,908,457,772
7. Deduct amortization of premium .....	140,593	82,723
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	192,985,463	11,445,841
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	192,985,463	11,445,841

Schedule DB - Part A - Verification - Options, Caps, Floors, Collars, Swaps and Forwards  
**N O N E**

Schedule DB - Part B - Verification - Futures Contracts  
**N O N E**

Schedule DB - Part C - Section 1 - Replication (Synthetic Asset) Transactions (RSATs) Open  
**N O N E**

Schedule DB-Part C-Section 2-Reconciliation of Replication (Synthetic Asset) Transactions Open  
**N O N E**

Schedule DB - Verification - Book/Adjusted Carrying Value, Fair Value and Potential Exposure of  
Derivatives  
**N O N E**



SCHEDULE E - VERIFICATION

(Cash Equivalents)

	1	2
	Year To Date	Prior Year Ended December 31
1. Book/adjusted carrying value, December 31 of prior year .....	0	101,997,968
2. Cost of cash equivalents acquired .....	4,774,069,360	3,347,390,044
3. Accrual of discount .....	530,059	84,813
4. Unrealized valuation increase (decrease) .....	0	0
5. Total gain (loss) on disposals .....	5,424	3,370
6. Deduct consideration received on disposals .....	4,139,642,833	3,449,476,195
7. Deduct amortization of premium .....	0	0
8. Total foreign exchange change in book/adjusted carrying value .....	0	0
9. Deduct current year's other than temporary impairment recognized .....	0	0
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9) .....	634,962,010	0
11. Deduct total nonadmitted amounts .....	0	0
12. Statement value at end of current period (Line 10 minus Line 11)	634,962,010	0

Schedule A - Part 2 - Real Estate Acquired and Additions Made

**N O N E**

Schedule A - Part 3 - Real Estate Disposed

**N O N E**

Schedule B - Part 2 - Mortgage Loans Acquired and Additions Made

**N O N E**

Schedule B - Part 3 - Mortgage Loans Disposed, Transferred or Repaid

**N O N E**

Schedule BA - Part 2 - Other Long-Term Invested Assets Acquired and Additions Made

**N O N E**

Schedule BA - Part 3 - Other Long-Term Invested Assets Disposed, Transferred or Repaid

**N O N E**

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 3

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1	2		3	4	5		6	7	8	9	10
CUSIP Identification	Description		Foreign	Date Acquired	Name of Vendor		Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Desig- nation or Market Indicator (a)
3133EG-XA-8	FED FARM CREDIT	AGCY FTST		.09/28/2016	CANTOR FITZGERALD			.7,000,000	.7,000,000	.0	1
3135G0-NB-2	FED NTL MTG ASSO	AGCY FTST		.08/17/2016	CITIGROUP GLOBAL MARKETS INC			.6,891,974	.6,920,000	.0	1FE
3135G0-Q2-2	FED NTL MTG ASSO	AGCY FTST		.09/23/2016	CITIGROUP GLOBAL MARKETS INC			.8,212,682	.8,265,000	.0	1FE
36179S-JS-7	GOVERNMENT NATIONAL MORTGAGE	GNMA		.08/22/2016	BNP PARIBAS			.5,218,646	.4,987,767	.8,314	1
912828-2F-6	UNITED STATES TREASURY	GOVERNMENT		.09/01/2016	BARCLAYS CAPITAL			.19,942,221	.20,000,000	.3,729	1
912828-A3-4	US TREASURY N/B	GOVERNMENT		.08/12/2016	NOMURA SECURITIES			.885,117	.875,000	.2,271	1
912828-RE-2	UNITED STATES TREASURY	GOVERNMENT		.07/12/2016	NOMURA SECURITIES			.162,744	.160,000	.880	1
912828-VK-3	UNITED STATES TREASURY	GOVERNMENT		.07/12/2016	SALOMON SMITH BARNEY			.4,409,473	.4,350,000	.2,113	1
912828-VQ-0	UNITED STATES TREASURY	GOVERNMENT		.07/12/2016	BARCLAYS CAPITAL			.354,977	.350,000	.2,168	1
0599999. Subtotal - Bonds - U.S. Governments								53,077,834	52,907,767	19,475	XXX
13066Y-SW-0	CALIFORNIA ST DEPT WATER RESO MUNI			.09/22/2016	CITIGROUP GLOBAL MARKETS INC			.1,724,464	.1,460,000	.29,606	1FE
419792-MG-8	HAWAII ST	MUNI		.09/30/2016	CITIGROUP GLOBAL MARKETS INC			.933,042	.730,000	.0	1FE
419792-MH-6	HAWAII ST	MUNI		.09/30/2016	CITIGROUP GLOBAL MARKETS INC			.946,890	.730,000	.0	1FE
419792-MJ-2	HAWAII ST	MUNI		.09/30/2016	CITIGROUP GLOBAL MARKETS INC			.938,408	.730,000	.0	1FE
419792-MK-9	HAWAII ST	MUNI		.09/30/2016	CITIGROUP GLOBAL MARKETS INC			.930,779	.730,000	.0	1FE
57582P-QY-9	MASSACHUSETTS ST	MUNI		.08/04/2016	LOOP CAPITAL MARKETS			.1,123,039	.1,010,000	.22,163	1FE
70914P-D2-5	PENNSYLVANIA ST	MUNI		.08/09/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.1,507,330	.1,390,000	.0	1FE
70914P-D8-2	PENNSYLVANIA STATE	MUNI		.08/09/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.1,788,561	.1,450,000	.0	1FE
70914P-D9-0	PENNSYLVANIA STATE	MUNI		.08/09/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.1,814,704	.1,450,000	.0	1FE
70914P-E2-4	PENNSYLVANIA STATE	MUNI		.08/09/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.1,835,947	.1,450,000	.0	1FE
1799999. Subtotal - Bonds - U.S. States, Territories and Possessions								13,543,164	11,130,000	51,769	XXX
235241-KW-5	DALLAS RAPID TRN SR -TX	MUNI		.08/18/2016	LOOP CAPITAL MARKETS			.6,604,074	.5,970,000	.71,391	1FE
414004-7D-7	HARRIS CNTY TEX	MUNI		.08/18/2016	LOOP CAPITAL MARKETS			.3,954,958	.3,620,000	.4,224	1FE
2499999. Subtotal - Bonds - U.S. Political Subdivisions of States, Territories and Possessions								10,559,032	9,590,000	75,615	XXX
004284-ZJ-7	ACALANES CALIF UN HIGH SCH DIST			.07/26/2016	SIEBURT, BRANDFORD, SHANK & CO			.792,100	.5,000,000	.0	1FE
047870-AZ-3	ATLANTA GA WTR & WASTE WTR REV			.09/21/2016	BARCLAYS CAPITAL			.1,602,550	.1,410,000	.31,235	1FE
13063C-R3-6	CALIFORNIA ST FOR PREVIOUS ISSUE			.07/25/2016	CITIGROUP GLOBAL MARKETS INC			.2,451,680	.1,925,000	.24,063	1FE
3132WF-UP-2	FEDERAL HOME LOAN MTGE CO	FHLMC		.08/09/2016	BARCLAYS CAPITAL			.289,032	.277,000	.231	1
31335A-BG-2	FEDERAL HOME LOAN MTGE CO	FHLMC		.08/09/2016	GOLDMAN SACHS			.5,975,476	.5,723,294	.4,769	1
3138EJ-ZR-2	FED NTL MTG ASSO	FNMA		.09/19/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.2,291,336	.2,149,912	.4,389	1
3138EK-G7-4	FANNIE MAE	FNMA		.09/19/2016	CITIGROUP GLOBAL MARKETS INC			.672,329	.630,601	.1,287	1
3138EL-B3-6	FED NTL MTG ASSO	FNMA		.09/19/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.257,532	.241,354	.493	1
3138EM-FX-4	FED NTL MTG ASSO	FNMA		.09/19/2016	CREDIT SUISSE FIRST BOSTON CORP			.2,114,151	.1,982,065	.4,047	1
3138EQ-ZF-2	FNMA 30 YR POOL	FNMA		.08/29/2016	WELLS			.11,180,360	.10,257,211	.0	1
3138ET-TP-1	FNMA 30 YR POOL	FNMA		.08/29/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.10,551,352	.9,616,727	.0	1
3138ET-VV-2	FED NTL MTG ASSO	FNMA		.09/19/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.3,328,770	.3,109,637	.6,349	1
3138LV-CV-3	FED NTL MTG ASSO 30YR			.09/19/2016	CITIGROUP GLOBAL MARKETS INC			.1,938,306	.1,818,005	.3,713	1
3138MO-SE-1	FED NTL MTG ASSO FNMA 30YR			.09/19/2016	CITIGROUP GLOBAL MARKETS INC			.1,681,695	.1,577,321	.3,220	1
3138MH-NT-5	FED NTL MTG ASSO	FNMA		.07/25/2016	CITIGROUP GLOBAL MARKETS INC			.2,142,670	.1,992,312	.2,214	1
31417A-JK-6	FED NTL MTG ASSO	FNMA		.09/19/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.522,866	.490,019	.1,000	1
544646-4Y-5	LOS ANGELES CALIFORNIA SCHOOL	MUNI		.08/29/2016	MORGAN STANLEY			.3,842,910	.3,000,000	.0	1FE
587635-FA-6	MERCED CALIF UN HIGH SCH DIST	MUNI		.07/26/2016	SIEBURT, BRANDFORD, SHANK & CO			.319,140	.2,000,000	.0	1FE
582112-DF-0	MET GOVT NASHVILLE & DAVIDSON	MUNI		.09/15/2016	LOOP CAPITAL MARKETS			.895,601	.850,000	.9,326	1FE
64990A-FJ-9	NEW YORK ST DORM AUTH SALES TA			.09/22/2016	J.P. MORGAN			.4,135,404	.3,640,000	.0	1FE
721876-TD-2	PIMA CNTY ARIZ SWIR REV	MUNI		.07/25/2016	WELLS			.1,328,996	.1,050,000	.3,063	1FE
3199999. Subtotal - Bonds - U.S. Special Revenues								58,314,256	58,740,458	99,399	XXX
00913R-AD-8	AIR LIQUIDE FIN	CORPORATE		.09/22/2016	HSBC SECURITIES INC.			.996,220	.1,000,000	.0	1FE
02079K-AC-1	ALPHABET INC	CORPORATE		.08/02/2016	MORGAN STANLEY			.2,937,570	.3,000,000	.0	1FE
03027X-AL-4	AMERICAN TOWERS INC	CORPORATE		.09/28/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.7,898,768	.7,910,000	.0	2FE
037833-CC-2	APPLE INC	CORPORATE		.07/28/2016	GOLDMAN SACHS			.1,542,852	.1,545,000	.0	1FE
05348E-AY-5	AVALONBAY COMMUNITIES INC	CORPORATE		.09/26/2016	MERRILL LYNCH, PIERCE, FENNER & SM			.1,958,889	.1,965,000	.0	2FE
05565E-AM-7	BMW US CAPITAL LLC	CORPORATE		.09/08/2016	GOLDMAN SACHS			.9,969,100	.10,000,000	.0	1FE
10112R-AY-0	BOSTON PROPERTIES LP	CORPORATE		.08/08/2016	J.P. MORGAN			.992,710	.1,000,000	.0	2FE
20030N-BW-0	COMCAST CORP	CORPORATE		.07/12/2016	CITIGROUP GLOBAL MARKETS INC			.1,548,140	.1,550,000	.0	1FE
224044-CG-0	COX COMMUNICATIONS INC	CORPORATE		.09/08/2016	WELLS FARGO			.903,471	.905,000	.0	2FE
22822V-AD-3	CROWN CASTLE INTL	CORPORATE		.08/22/2016	CITIGROUP GLOBAL MARKETS INC			.1,624,545	.1,625,000	.0	2FE
23312V-AF-3	DBJPM	OMBS		.07/26/2016	DEUTSCHE BANK			.2,863,372	.2,780,000	.2,231	1FE
3135G0-P5-6	FANNIE MAE	ABS FTST		.09/16/2016	BARCLAYS CAPITAL			.8,999,100	.9,000,000	.0	1FE
345397-YD-9	FORD MOTOR CREDIT CO	CORPORATE		.08/08/2016	RBC DOMINION SECURITIES CORP.			.750,000	.750,000	.0	2FE
375558-BL-6	GILEAD SCIENCES	CORPORATE		.09/15/2016	J.P. MORGAN			.757,310	.760,000	.0	1FE
38145G-AG-5	GOLDMAN SACHS GROUP INC	CORPORATE		.09/22/2016	GOLDMAN SACHS			.2,887,023	.2,890,000	.0	2FE

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 3

Show All Long-Term Bonds and Stock Acquired During the Current Quarter

1	2		3	4	5	6	7	8	9	10
CUSIP Identification	Description		Foreign	Date Acquired	Name of Vendor	Number of Shares of Stock	Actual Cost	Par Value	Paid for Accrued Interest and Dividends	NAIC Desig- nation or Market Indicator (a)
432833-AA-9	HILTON HOTELS CORP	CORPORATE		.09/29/2016	MERRILL LYNCH, PIERCE, FENNER & SM		1,520,625	1,500,000	8,146	3FE
49327M-2P-8	KEY BANK USA NA	CORPORATE		.08/17/2016	KEY CAPITAL MARKETS		1,464,531	1,465,000	.0	1FE
61761J-3P-8	MORGAN STANLEY	CORPORATE		.07/20/2016	MORGAN STANLEY		1,683,474	1,685,000	.0	1FE
64952W-CJ-0	NEW YORK LIFE	CORPORATE		.09/07/2016	J.P. MORGAN		6,986,630	7,000,000	.0	1FE
654740-AS-8	NISSAN MTR ACCEP	CORPORATE		.09/07/2016	CITIGROUP GLOBAL MARKETS INC		2,245,725	2,250,000	.0	1FE
88167A-AE-1	TEVA PHARMACEUTICAL	CORPORATE		.07/18/2016	BARCLAYS CAPITAL		907,579	910,000	.0	2FE
883556-BR-2	THERMO FISHER SCIENTIFIC INC	CORPORATE		.09/14/2016	J.P. MORGAN		1,254,595	1,270,000	.0	2FE
904764-AU-1	UNILEVER CAPITAL CORP	CORPORATE		.07/25/2016	JP MORGAN CHASE BANK		984,170	1,000,000	.0	1FE
91159H-HN-3	US BANCORP	CORPORATE		.07/19/2016	U.S. BANCORP INVESTMENTS, INC		5,509,374	5,550,000	.0	1FE
92343V-DD-3	VERIZON COMMUNICATIONS	CORPORATE		.07/27/2016	MERRILL LYNCH, PIERCE, FENNER & SM		1,745,538	1,750,000	.0	2FE
3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)							70,931,311	71,070,000	10,377	XXX
8399997. Total - Bonds - Part 3							206,425,597	203,438,225	256,635	XXX
8399998. Total - Bonds - Part 5							XXX	XXX	XXX	XXX
8399999. Total - Bonds							206,425,597	203,438,225	256,635	XXX
8999997. Total - Preferred Stocks - Part 3							0	XXX	0	XXX
8999998. Total - Preferred Stocks - Part 5							XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks							0	XXX	0	XXX
9799997. Total - Common Stocks - Part 3							0	XXX	0	XXX
9799998. Total - Common Stocks - Part 5							XXX	XXX	XXX	XXX
9799999. Total - Common Stocks							0	XXX	0	XXX
9899999. Total - Preferred and Common Stocks							0	XXX	0	XXX
9999999 - Totals							206,425,597	XXX	256,635	XXX

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues .....0

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2		3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
											11	12	13	14	15							
CUSIP Identification	Description		For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation or Market In- dicator (a)
.313560-H7-1	FED NTL MTG ASSO	AGCY FTST		08/22/2016	CALLLED SECURITY at 100.000		2,000,000	2,000,000	2,002,000	.0	.0	(2,000)	.0	(2,000)	.0	2,000,000	.0	.0	.0	13,750	02/22/2019	1FE
.313560-TB-9	FED NTL MTG ASSO	AGCY FTST		07/11/2016	CALLLED SECURITY at 100.000		8,000,000	8,000,000	7,999,200	.0	.0	.800	.0	.800	.0	8,000,000	.0	.0	.0	62,800	01/09/2020	1FE
.313560-TQ-6	FED NTL MTG ASSO	AGCY FTST		08/01/2016	CALLLED SECURITY at 100.000		7,500,000	7,500,000	7,499,250	.0	.0	.750	.0	.750	.0	7,500,000	.0	.0	.0	60,000	01/30/2020	1FE
.36183W-5Y-4	FED NTL MTG ASSO	FNMA		08/30/2016	VARIOUS		2,903,561	2,715,167	2,878,078	2,881,922	.0	(15,785)	.0	(15,785)	.0	2,866,136	.0	37,425	37,425	68,836	01/01/2045	1
.36202E-VP-1	GOVERNMENT NATIONAL MORTGAGE	GNMA		09/20/2016	MBS PAYDOWN		116,223	116,223	117,040	116,349	.0	(126)	.0	(126)	.0	116,223	.0	.0	.0	4,625	08/01/2038	1
.912828-LD-0	US TREASURY N/B			07/31/2016	VARIOUS		1,185,000	1,185,000	1,265,640	1,203,766	.0	(18,767)	.0	(18,767)	.0	1,185,000	.0	.0	.0	39,008	07/31/2016	1
.912828-QX-1	UNITED STATES TREASURY	GOVERNMENT		07/31/2016	VARIOUS		3,675,000	3,675,000	3,773,347	3,695,749	.0	(20,749)	.0	(20,749)	.0	3,675,000	.0	.0	.0	55,125	07/31/2016	1
.912828-RF-9	US TREASURY N/B			08/31/2016	VARIOUS		875,000	875,000	883,240	877,345	.0	(2,345)	.0	(2,345)	.0	875,000	.0	.0	.0	8,750	08/31/2016	1
0599999	Subtotal - Bonds - U.S. Governments						26,254,784	26,066,390	26,417,795	8,775,131	0	(58,222)	0	(58,222)	0	26,217,359	0	37,425	37,425	312,894	XXX	XXX
.040507-MN-8	ARIZONA HEALTH FACS AUTH REV	MUNI		09/13/2016	WELLS FARGO		162,313	175,000	137,813	141,648	.0	.903	.0	.903	.0	142,550	.0	19,762	19,762	1,974	01/01/2037	1FE
.13062T-PM-0	CALIFORNIA STATE	MUNI		09/01/2016	CALLLED SECURITY at 100.000		450,000	450,000	474,638	466,807	.0	(16,807)	.0	(16,807)	.0	450,000	.0	.0	.0	22,500	09/01/2027	1FE
.658256-Z5-4	NORTH CAROLINA ST	MUNI		09/07/2016	RAYMOND JAMES		1,663,690	1,255,000	1,636,770	.0	.0	(17,485)	.0	(17,485)	.0	1,619,287	.0	44,405	44,405	31,898	06/01/2026	1FE
.677521-PJ-9	OHIO ST	MUNI		09/15/2016	MATURITY		720,000	720,000	757,649	744,038	.0	(24,038)	.0	(24,038)	.0	720,000	.0	.0	.0	36,000	09/15/2016	1FE
.677522-HU-1	OHIO ST	MUNI		09/08/2016	MORGAN STANLEY		1,610,192	1,260,000	1,589,099	.0	.0	(17,890)	.0	(17,890)	.0	1,571,209	.0	38,982	38,982	32,200	12/15/2024	1FE
.928109-M4-6	VIRGINIA STATE	MUNI		09/07/2016	J.P. MORGAN		2,519,130	1,965,000	2,427,915	2,424,959	.0	(30,893)	.0	(30,893)	.0	2,394,066	.0	125,064	125,064	76,690	06/01/2028	1FE
.93974D-JR-0	WASHINGTON ST FOR ISSUES DTD P			09/13/2016	WELLS FARGO		1,216,210	1,000,000	1,226,930	1,203,878	.0	(14,507)	.0	(14,507)	.0	1,189,372	.0	26,838	26,838	60,417	07/01/2031	1FE
.93978H-ME-2	WASHINGTON ST HEALTH CARE FAC	MUNI		09/13/2016	MORGAN STANLEY		1,705,727	1,435,000	1,608,463	1,602,555	.0	(10,963)	.0	(10,963)	.0	1,591,592	.0	114,135	114,135	68,760	10/01/2038	1FE
1799999	Subtotal - Bonds - U.S. States, Territories and Possessions						10,047,262	8,260,000	9,859,277	6,583,885	0	(131,680)	0	(131,680)	0	9,678,076	0	369,186	369,186	330,439	XXX	XXX
.181059-TC-0	CLARK CNTY NEV SCHOOL DIST	MUNI		09/07/2016	MERRILL LYNCH, PIERCE, FENNER & SM		2,546,020	2,000,000	2,391,180	2,387,553	.0	(23,822)	.0	(23,822)	.0	2,363,731	.0	182,289	182,289	80,278	06/15/2026	1FE
.181059-TE-6	CLARK CNTY NEV SCHOOL DIST	MUNI		09/13/2016	RBC CAPITAL MARKETS		1,518,865	1,225,000	1,448,060	1,446,003	.0	(13,710)	.0	(13,710)	.0	1,432,292	.0	86,573	86,573	49,850	06/15/2028	1FE
.362762-LD-6	GAINESVILLE & HALL CNTY GA HOS			09/21/2016	VARIOUS		4,793,960	4,000,000	4,432,080	4,394,433	.0	(26,874)	.0	(26,874)	.0	4,367,560	.0	426,400	426,400	233,917	08/15/2049	1FE
2499999	Subtotal - Bonds - U.S. Political Subdivisions of States, Territories and Possessions						8,858,845	7,225,000	8,271,320	8,227,989	0	(64,406)	0	(64,406)	0	8,163,583	0	695,262	695,262	364,045	XXX	XXX
.31289P-TZ-6	FED NTL MTG ASSO	FNMA		09/01/2016	MBS PAYDOWN		1,840	1,840	1,897	1,846	.0	(6)	.0	(6)	.0	1,840	.0	.0	.0	67	01/01/2017	1
.3128M6-P2-8	FGOLD 30 YR	FNMA		09/01/2016	MBS PAYDOWN		17,162	17,162	17,351	17,184	.0	(22)	.0	(22)	.0	17,162	.0	.0	.0	703	06/01/2038	1
.3128M8-RT-3	FGOLD 30YR GIANY	FHLMC		09/01/2016	MBS PAYDOWN		46,618	46,618	50,071	46,972	.0	(354)	.0	(354)	.0	46,618	.0	.0	.0	1,242	04/01/2041	1
.3128MB-N7-8	FGOLD 15YR GIANT	FHLMC		09/01/2016	MBS PAYDOWN		9,643	9,643	10,231	9,738	.0	(95)	.0	(95)	.0	9,643	.0	.0	.0	317	12/01/2021	1
.3128MM-T6-0	FGOLD 15YR GIANT	FHLMC		09/01/2016	MBS PAYDOWN		577,320	577,320	600,954	580,283	.0	(2,962)	.0	(2,962)	.0	577,320	.0	.0	.0	11,540	10/01/2030	1
.312971-BM-5	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		10,370	10,370	11,002	10,451	.0	(81)	.0	(81)	.0	10,370	.0	.0	.0	346	04/01/2020	1
.312971-CQ-5	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		8,261	8,261	8,764	8,339	.0	(79)	.0	(79)	.0	8,261	.0	.0	.0	276	04/01/2020	1
.312971-MS-0	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		15,746	15,746	16,705	15,885	.0	(140)	.0	(140)	.0	15,746	.0	.0	.0	533	05/01/2020	1
.312972-DX-7	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		25,488	25,488	27,042	25,730	.0	(242)	.0	(242)	.0	25,488	.0	.0	.0	841	04/01/2020	1
.312972-EK-4	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		14,573	14,573	15,461	14,720	.0	(147)	.0	(147)	.0	14,573	.0	.0	.0	473	04/01/2020	1
.312972-GT-3	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		8,048	8,048	8,539	8,168	.0	(120)	.0	(120)	.0	8,048	.0	.0	.0	268	04/01/2020	1
.312972-GZ-9	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		13,112	13,112	13,911	13,330	.0	(218)	.0	(218)	.0	13,112	.0	.0	.0	437	04/01/2020	1
.31329K-ZQ-2	FGOLD 30 YR	FHLMC		09/01/2016	MBS PAYDOWN		36,867	36,867	39,597	37,119	.0	(252)	.0	(252)	.0	36,867	.0	.0	.0	975	11/01/2041	1
.31329R-NC-0	FEDERAL HOME LOAN MTGE CO	FHLMC		09/01/2016	MBS PAYDOWN		817,352	849,918	819,872	.0	(2,520)	.0	.0	(2,520)	.0	817,352	.0	.0	.0	16,696	01/01/2043	1
.3132KF-CU-4	FEDERAL HOME LOAN MTGE CO	FHLMC		09/01/2016	MBS PAYDOWN		336,534	336,534	351,100	337,871	.0	(1,336)	.0	(1,336)	.0	336,534	.0	.0	.0	6,614	11/01/2030	1
.3132M3-T6-4	FEDERAL HOME LOAN MTGE CO	FHLMC		09/01/2016	MBS PAYDOWN		2,340	2,340	2,395	2,343	.0	(3)	.0	(3)	.0	2,340	.0	.0	.0	54	12/01/2043	1
.3132WF-UP-2	FEDERAL HOME LOAN MTGE CO	FHLMC		09/01/2016	MBS PAYDOWN		447	447	467	.0	.0	.0	.0	.0	.0	447	.0	.0	.0	1	08/01/2046	1
.31335A-BG-2	FEDERAL HOME LOAN MTGE CO	FHLMC		09/01/2016	MBS PAYDOWN		71,734	71,734	74,895	.0	.0	(4)	.0	(4)	.0	71,734	.0	.0	.0	179	04/01/2043	1
.31336W-CP-2	FGOLD 15YR	FHLMC		09/01/2016	MBS PAYDOWN		15,108	15,108	16,028	15,261	.0	(153)	.0	(153)	.0	15,108	.0	.0	.0	501	10/01/2020	1
.31371K-NX-5	FED NTL MTG ASSO	FNMA		09/01/2016	MBS PAYDOWN		6,814	6,814	7,052	6,843	.0	(30)	.0	(30)	.0	6,814	.0	.0	.0	250	05/01/2017	1

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident-ification	Description	For-ign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn-ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con-tractual Maturity Date	NAIC Desig-nation or Market In-dicator (a)
3138EN-AA-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		450,272	450,272	490,233	456,561	.0	(6,289)	.0	(6,289)	.0	450,272	.0	.0	.0	13,422	01/01/2043	1
3138EP-AH-7	FED NTL MTG ASSO FNMA		08/30/2016	VARIOUS		4,598,684	4,220,088	4,580,115	4,632,809	.0	(82,346)	.0	(82,346)	.0	4,550,464	.0	48,221	48,221	136,523	02/01/2045	1
3138EP-LC-6	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		315,631	315,631	343,051	319,992	.0	(4,361)	.0	(4,361)	.0	315,631	.0	.0	.0	9,506	01/01/2043	1
3138EP-S4-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		313,965	313,965	334,912	317,191	.0	(3,226)	.0	(3,226)	.0	313,965	.0	.0	.0	8,566	07/01/2040	1
3138EP-TZ-7	FED NTL MTG ASSO FNMA		08/17/2016	VARIOUS		17,698,841	16,801,579	17,579,487	17,622,265	.0	(106,976)	.0	(106,976)	.0	17,515,289	.0	183,552	183,552	363,966	06/01/2035	1
3138EP-WL-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		93,360	93,360	100,106	.0	.0	(717)	.0	(717)	.0	93,360	.0	.0	.0	1,862	12/01/2042	1
3138EQ-CS-9	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		189,807	189,807	199,031	190,938	.0	(1,131)	.0	(1,131)	.0	189,807	.0	.0	.0	3,851	09/01/2030	1
3138EQ-D2-5	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		193,321	193,321	203,077	.0	.0	(601)	.0	(601)	.0	193,321	.0	.0	.0	2,349	09/01/2030	1
3138EQ-HM-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		38,526	38,526	40,470	.0	.0	(96)	.0	(96)	.0	38,526	.0	.0	.0	481	10/01/2030	1
3138EQ-HY-1	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		102,965	102,965	109,818	103,328	.0	(363)	.0	(363)	.0	102,965	.0	.0	.0	2,667	10/01/2045	1
3138EQ-PF-3	FED NTL MTG ASSO FNMA		08/17/2016	VARIOUS		3,095,510	2,910,667	3,065,523	.0	.0	(24,397)	.0	(24,397)	.0	3,053,154	.0	42,356	42,356	64,975	03/01/2030	1
3138EQ-V0-2	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		545,396	545,396	584,771	.0	.0	(3,888)	.0	(3,888)	.0	545,396	.0	.0	.0	10,463	07/01/2043	1
3138LS-RB-5	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		440	440	435	440	.0	.0	.0	.0	.0	440	.0	.0	.0	.0	12/01/2042	1
3138LS-SB-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		2,819	2,819	2,787	2,816	.0	2	.0	2	.0	2,819	.0	.0	.0	62	12/01/2042	1
3138LV-ZK-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		261,777	261,777	277,484	263,341	.0	(1,564)	.0	(1,564)	.0	261,777	.0	.0	.0	6,012	07/01/2042	1
3138LV-HB-9	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		1,106	1,106	1,094	1,105	.0	1	.0	1	.0	1,106	.0	.0	.0	24	11/01/2042	1
3138LX-T4-1	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		149	149	149	149	.0	.0	.0	.0	.0	149	.0	.0	.0	3	08/01/2042	1
3138M6-P7-6	FED NTL MTG ASSO FNMA 30 YR		09/01/2016	MBS PAYDOWN		194	194	192	194	.0	.0	.0	.0	.0	194	.0	.0	.0	4	12/01/2042	1
3138M7-GY-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		1,889	1,889	1,869	1,887	.0	2	.0	2	.0	1,889	.0	.0	.0	34	09/01/2042	1
3138M7-GZ-2	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,699	2,699	2,669	2,697	.0	2	.0	2	.0	2,699	.0	.0	.0	59	09/01/2042	1
3138M7-W2-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		530	530	524	530	.0	1	.0	1	.0	530	.0	.0	.0	11	08/01/2042	1
3138M9-3L-3	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		1,379	1,379	1,365	1,375	.0	4	.0	4	.0	1,379	.0	.0	.0	30	09/01/2042	1
3138MB-AT-3	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		201	201	199	201	.0	.0	.0	.0	.0	201	.0	.0	.0	4	10/01/2042	1
3138MC-2V-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,571	2,571	2,544	2,569	.0	2	.0	2	.0	2,571	.0	.0	.0	51	10/01/2042	1
3138MC-FB-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,026	2,026	2,005	2,025	.0	1	.0	1	.0	2,026	.0	.0	.0	40	10/01/2042	1
3138MC-T4-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,518	2,518	2,492	2,517	.0	1	.0	1	.0	2,518	.0	.0	.0	56	01/01/2043	1
3138MD-WE-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		238	238	236	238	.0	.0	.0	.0	.0	238	.0	.0	.0	5	09/01/2042	1
3138MF-NJ-2	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		357	357	354	357	.0	.0	.0	.0	.0	357	.0	.0	.0	7	09/01/2042	1
3138MF-W3-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,457	2,457	2,431	2,456	.0	1	.0	1	.0	2,457	.0	.0	.0	45	11/01/2042	1
3138MF-W5-2	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,774	2,774	2,745	2,771	.0	3	.0	3	.0	2,774	.0	.0	.0	62	11/01/2042	1
3138MG-K9-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		235	235	235	235	.0	.0	.0	.0	.0	235	.0	.0	.0	5	11/01/2042	1
3138MG-MC-6	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		5,434	5,434	5,378	5,431	.0	3	.0	3	.0	5,434	.0	.0	.0	105	01/01/2043	1
3138MG-RH-0	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		166	166	164	.0	.0	.0	.0	.0	.0	166	.0	.0	.0	3	12/01/2042	1
3138MH-KP-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		277	277	274	277	.0	.0	.0	.0	.0	277	.0	.0	.0	6	12/01/2042	1
3138MH-K0-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		5,161	5,161	5,103	5,159	.0	3	.0	3	.0	5,161	.0	.0	.0	115	12/01/2042	1
3138MH-KJ-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		202	202	200	202	.0	.0	.0	.0	.0	202	.0	.0	.0	4	10/01/2042	1
3138MJ-6T-1	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		576	576	570	576	.0	.0	.0	.0	.0	576	.0	.0	.0	11	11/01/2042	1
3138MJ-GD-5	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		621	621	614	620	.0	.0	.0	.0	.0	621	.0	.0	.0	13	12/01/2042	1
3138MJ-QU-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		550	550	544	550	.0	.0	.0	.0	.0	550	.0	.0	.0	11	10/01/2042	1
3138MK-B7-0	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,736	2,736	2,708	2,735	.0	1	.0	1	.0	2,736	.0	.0	.0	55	11/01/2042	1
3138ML-MY-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		2,694	2,694	2,666	2,693	.0	1	.0	1	.0	2,694	.0	.0	.0	54	12/01/2042	1
3138ML-TC-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		3,754	3,754	3,715	3,751	.0	3	.0	3	.0	3,754	.0	.0	.0	75	12/01/2042	1
3138MM-AB-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,613	2,613	2,586	2,611	.0	2	.0	2	.0	2,613	.0	.0	.0	52	12/01/2042	1
3138MM-C6-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,634	2,634	2,606	2,633	.0	1	.0	1	.0	2,634	.0	.0	.0	53	12/01/2042	1
3138MM-CE-0	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		1,574	1,574	1,558	1,573	.0	1	.0	1	.0	1,574	.0	.0	.0	35	11/01/2042	1
3138MM-U3-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		395	395	391	395	.0	.0	.0	.0	.0	395	.0	.0	.0	8	12/01/2042	1
3138MM-KP-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		196	196	193	195	.0	.0	.0	.0	.0	196	.0	.0	.0	4	01/01/2043	1
3138MM-NW-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		6,752	6,752	6,682	6,747	.0	6	.0	6	.0	6,752	.0	.0	.0	135	11/01/2042	1
3138MM-Y6-3	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		2,326	2,326	2,302	2,324	.0	1	.0	1	.0	2,326	.0	.0	.0	42	11/01/2042	1
3138MN-2Y-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		209	209	206	209	.0	.0	.0	.0	.0	209	.0	.0	.0	4	12/01/2042	1
3138MN-5G-1	FNMA 30YR TBA FNMA		09/01/2016	MBS PAYDOWN		3,376	3,376	3,341	3,374	.0	2	.0	2	.0	3,376	.0	.0	.0	65	01/01/2043	1
3138MN-A3-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		252	252	249	252	.0	.0	.0	.0	.0	252	.0	.0	.0	5	11/01/2042	1
3138MN-AS-9	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		284	284	281	283	.0	1	.0	1	.0	284	.0	.0	.0	6	12/01/2042	1
3138MN-AT-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,302	2,302	2,278	2,300	.0	2	.0	2	.0	2,302	.0	.0	.0	51	12/01/2042	1
3138MN-EN-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,296	2,296	2,272	2,295	.0	1	.0	1	.0	2,296	.0	.0	.0	41	12/01/2042	1
3138MN-JQ-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		372	372	368	371	.0	1	.0	1	.0	372	.0	.0	.0	7	01/01/2043	1
3138MP-2W-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		231	231	229	231	.0	.0	.0	.0	.0	231	.0	.0	.0	5	01/01/2043	1
3138MP-2X-2	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		307	307	304	307	.0	.0	.0	.0	.0	307	.0	.0	.0	6	12/01/2042	1

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident-ification	Description	For-eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid-eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor-tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn-ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con-tractual Maturity Date	NAIC Desig-nation or Market In-dicator (a)
3138MP-BU-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,253	2,253	2,230	2,251	.0	.2	.0	2	.0	2,253	.0	.0	.0	.41	12/01/2042	1
3138MP-DQ-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		4,234	4,234	4,190	4,232	.0	.2	.0	2	.0	4,234	.0	.0	.0	.76	01/01/2043	1
3138MP-DV-4	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		267,034	267,034	273,042	267,658	.0	(.625)	.0	(.625)	.0	267,034	.0	.0	.0	5,558	01/01/2043	1
3138MQ-HG-1	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		.581	.581	.575	.581	.0	.0	.0	.0	.0	.581	.0	.0	.0	.12	12/01/2042	1
3138MQ-J3-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.475	.475	.470	.475	.0	.0	.0	.0	.0	.475	.0	.0	.0	.10	12/01/2042	1
3138MQ-JZ-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		3,002	3,002	2,971	3,000	.0	.2	.0	2	.0	3,002	.0	.0	.0	.62	12/01/2042	1
3138MQ-TN-3	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,350	2,350	2,326	2,349	.0	.1	.0	1	.0	2,350	.0	.0	.0	.50	12/01/2042	1
3138MQ-WF-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.316	.316	.313	.316	.0	.0	.0	.0	.0	.316	.0	.0	.0	.6	12/01/2042	1
3138MQ-WG-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.643	.643	.636	.642	.0	.1	.0	1	.0	.643	.0	.0	.0	.13	12/01/2042	1
3138MR-2P-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.168	.168	.166	.168	.0	.0	.0	.0	.0	.168	.0	.0	.0	.3	12/01/2042	1
3138MR-SR-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		4,324	4,324	4,280	4,323	.0	.1	.0	1	.0	4,324	.0	.0	.0	.86	01/01/2043	1
3138MR-D2-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,827	2,827	2,798	2,824	.0	.3	.0	3	.0	2,827	.0	.0	.0	.57	12/01/2042	1
3138MR-DZ-1	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		3,595	3,595	3,554	3,592	.0	.3	.0	3	.0	3,595	.0	.0	.0	.64	12/01/2042	1
3138MR-M7-3	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		3,054	3,054	3,019	3,052	.0	.2	.0	2	.0	3,054	.0	.0	.0	.54	12/01/2042	1
3138MR-RX-1	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		4,906	4,906	4,855	4,903	.0	.4	.0	4	.0	4,906	.0	.0	.0	.98	12/01/2042	1
3138MR-TR-2	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		4,800	4,800	4,750	4,797	.0	.3	.0	3	.0	4,800	.0	.0	.0	.102	12/01/2042	1
3138MR-TS-0	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		.347	.347	.343	.347	.0	.0	.0	.0	.0	.347	.0	.0	.0	.7	12/01/2042	1
3138MR-UJ-8	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		.788	.788	.780	.788	.0	.0	.0	.0	.0	.788	.0	.0	.0	.16	12/01/2042	1
3138MR-XV-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		3,876	3,876	3,836	3,874	.0	.2	.0	2	.0	3,876	.0	.0	.0	.86	01/01/2043	1
3138MS-A2-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.201	.201	.198	.200	.0	.0	.0	.0	.0	.201	.0	.0	.0	.4	12/01/2042	1
3138MS-A3-3	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		.219	.219	.217	.219	.0	.0	.0	.0	.0	.219	.0	.0	.0	.4	12/01/2042	1
3138MS-C8-0	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		8,481	8,481	8,672	8,496	.0	(15)	.0	(15)	.0	8,481	.0	.0	.0	.177	02/01/2043	1
3138NW-VM-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.546	.546	.541	.546	.0	.0	.0	.0	.0	.546	.0	.0	.0	.10	01/01/2043	1
3138NX-J5-7	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		67,934	67,934	69,483	68,038	.0	(104)	.0	(104)	.0	67,934	.0	.0	.0	1,373	01/01/2043	1
3138NX-L7-0	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		3,162	3,162	3,129	3,161	.0	.1	.0	1	.0	3,162	.0	.0	.0	.62	12/01/2042	1
3138NX-MW-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.351	.351	.348	.351	.0	.0	.0	.0	.0	.351	.0	.0	.0	.7	01/01/2043	1
3138NX-RK-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,480	2,480	2,454	2,476	.0	.4	.0	4	.0	2,480	.0	.0	.0	.45	01/01/2043	1
3138NY-AR-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		3,243	3,243	3,210	3,239	.0	.4	.0	4	.0	3,243	.0	.0	.0	.72	01/01/2043	1
3138NY-QM-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.383	.383	.379	.383	.0	.1	.0	1	.0	.383	.0	.0	.0	.8	01/01/2043	1
3138NY-FX-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.420	.420	.415	.420	.0	.0	.0	.0	.0	.420	.0	.0	.0	.8	01/01/2043	1
3138NY-HT-5	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		4,685	4,685	4,637	4,681	.0	.5	.0	5	.0	4,685	.0	.0	.0	.96	01/01/2043	1
3138NY-OP-3	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		4,210	4,210	4,167	4,206	.0	.4	.0	4	.0	4,210	.0	.0	.0	.87	02/01/2043	1
3138NY-U9-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		3,075	3,075	3,040	3,072	.0	.3	.0	3	.0	3,075	.0	.0	.0	.55	01/01/2043	1
3138W0-2A-6	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		2,647	2,647	2,619	2,646	.0	.1	.0	1	.0	2,647	.0	.0	.0	.59	01/01/2043	1
3138W0-2X-6	FED NTL MTG ASSO FNMA 30 YR		09/01/2016	MBS PAYDOWN		3,548	3,548	3,511	3,542	.0	.6	.0	6	.0	3,548	.0	.0	.0	.69	01/01/2043	1
3138W0-FU-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		1,453	1,453	1,438	1,452	.0	.1	.0	1	.0	1,453	.0	.0	.0	.26	01/01/2043	1
3138W0-G6-0	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		1,856	1,856	1,837	1,853	.0	.2	.0	2	.0	1,856	.0	.0	.0	.40	01/01/2043	1
3138W0-SZ-3	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		27,074	27,074	27,683	27,116	.0	(42)	.0	(42)	.0	27,074	.0	.0	.0	.489	05/01/2043	1
3138W0-YR-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,972	2,972	2,941	2,971	.0	.1	.0	1	.0	2,972	.0	.0	.0	.53	01/01/2043	1
3138W1-4Q-7	FED NTL MTG ASSO 30YR		09/01/2016	MBS PAYDOWN		232,485	232,485	240,676	233,099	.0	(.615)	.0	(.615)	.0	232,485	.0	.0	.0	4,751	03/01/2043	1
3138W1-7M-3	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		2,134	2,134	2,112	2,133	.0	.1	.0	1	.0	2,134	.0	.0	.0	.39	04/01/2043	1
3138W1-K3-0	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		98,858	98,858	101,082	99,018	.0	(.160)	.0	(.160)	.0	98,858	.0	.0	.0	2,179	02/01/2043	1
3138W1-LY-1	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.323	.323	.319	.323	.0	.0	.0	.0	.0	.323	.0	.0	.0	.6	03/01/2043	1
3138W3-FS-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		4,775	4,775	4,725	4,771	.0	.4	.0	4	.0	4,775	.0	.0	.0	.95	02/01/2043	1
3138W4-AP-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		6,383	6,383	6,317	6,376	.0	.7	.0	7	.0	6,383	.0	.0	.0	.132	04/01/2043	1
3138W6-WQ-5	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		.189	.189	.187	.189	.0	.0	.0	.0	.0	.189	.0	.0	.0	.4	03/01/2043	1
3138W7-GB-4	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		5,659	5,659	5,600	5,654	.0	.5	.0	5	.0	5,659	.0	.0	.0	.107	03/01/2043	1
3138W7-GD-0	FED NTL MTG ASSO		09/09/2016	VARIOUS		5,045,850	4,852,126	4,961,299	4,964,868	.0	(12,760)	.0	(12,760)	.0	4,952,109	.0	93,741	93,741	113,743	03/01/2043	1
3138W7-WP-5	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		2,109	2,109	2,087	2,108	.0	.2	.0	2	.0	2,109	.0	.0	.0	.39	04/01/2043	1
3138W9-GM-6	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		58,801	58,801	60,136	58,915	.0	(114)	.0	(114)	.0	58,801	.0	.0	.0	1,159	08/01/2043	1
3138WD-6X-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		.3,197	.3,197	.3,299	.3,208	.0	(11)	.0	(11)	.0	.3,197	.0	.0	.0	.52	02/01/2030	1
3138WE-AC-3	FED NTL MTG ASSO FNMA		09/06/2016	VARIOUS		10,120,540	9,605,013	10,083,762	10,094,948	.0	(77,614)	.0	(77,614)	.0	10,017,334	.0	103,206	103,206	228,789	03/01/2030	1
3138WE-AJ-8	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		37,391	37,391	39,226	37,569	.0	(178)	.0	(178)	.0	37,391	.0	.0	.0	.720	02/01/2030	1
3138WE-AM-1	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		60,643	60,643	63,666	60,956	.0	(314)	.0	(314)	.0	60,643	.0	.0	.0	1,201	02/01/2030	1
3138WE-CQ-0	FED NTL MTG ASSO FNMA		08/30/2016	VARIOUS		11,026,475	10,092,055	10,927,804	10,957,911	.0	(73,172)	.0	(73,172)	.0	10,884,739	.0	141,736	141,736	291,682	03/01/2045	1
3138WE-H4-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		.91,337	.91,337	.94,263	.91,644	.0	(.306)	.0	(.306)	.0	.91,337	.0	.0	.0	1,537	04/01/2030	1
3138WF-4F-0	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		.117,462	.117,462	125,335	118,022	.0	(.560)	.0	(.560)	.0	.117,462	.0	.0	.0	.3,155	11/01/2045	1
3138WF-NL-6	FANNIE MAE 15 YR MBS/POOL FNMA		08/17/2016	VARIOUS		14,026,263	13,334,942	13,901,677	13,930,914	.0	(.67,329)	.0	(.67,329)	.0	13,863,585	.0	162,679	162,679	289,271	09/01/2030	1

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recogn- ized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation or Market In- dicator (a)
3138WF-R5-7	FED NTL MTG ASSO FNMA		08/30/2016	VARIOUS		5,782,281	5,407,950	5,702,853	5,710,734	.0	(18,317)	.0	(18,317)	.0	5,692,417	.0	89,864	89,864	137,495	10/01/2045	1
3138WF-R7-3	FED NTL MTG ASSO FNMA		08/18/2016	VARIOUS		7,019,902	6,601,615	6,936,853	6,944,536	.0	(21,413)	.0	(21,413)	.0	6,923,124	.0	96,779	96,779	167,795	10/01/2045	1
3138WF-XZ-4	FANNIE MAE 15 YR MBS/POOL FNMA		09/01/2016	MBS PAYDOWN		127,435	127,435	133,190	127,928	.0	(493)	.0	(493)	.0	127,435	.0	.0	.0	2,630	10/01/2030	1
3138WH-NT-5	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		14,851	14,851	15,971	.0	.0	(1)	.0	(1)	.0	14,851	.0	.0	.0	50	07/01/2046	1
3138WM-P4-7	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		222	222	224	224	.0	.0	.0	.0	.0	224	.0	.0	.0	4	03/01/2043	1
3138WM-XV-8	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		344	344	341	344	.0	.1	.0	.1	.0	344	.0	.0	.0	7	03/01/2043	1
3138WM-ZQ-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		298	298	295	298	.0	.0	.0	.0	.0	298	.0	.0	.0	6	03/01/2043	1
3138WN-7K-9	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		437	437	433	437	.0	.0	.0	.0	.0	437	.0	.0	.0	9	04/01/2043	1
3138WP-JE-5	FNMA 15YR		09/01/2016	MBS PAYDOWN		159,178	159,178	166,303	160,026	.0	(848)	.0	(848)	.0	159,178	.0	.0	.0	2,646	04/01/2028	1
3138WQ-M3-3	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		378	378	374	377	.0	.1	.0	.1	.0	378	.0	.0	.0	8	04/01/2043	1
3138WQ-Q3-9	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		7,608	7,608	7,529	7,602	.0	.6	.0	.6	.0	7,608	.0	.0	.0	152	05/01/2043	1
3138WU-5W-9	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		56,528	56,528	58,754	56,725	.0	(197)	.0	(197)	.0	56,528	.0	.0	.0	1,341	06/01/2043	1
3138WV-H4-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		269	269	267	269	.0	.0	.0	.0	.0	269	.0	.0	.0	5	05/01/2043	1
3138WV-W4-9	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,422	2,422	2,396	2,420	.0	.2	.0	.2	.0	2,422	.0	.0	.0	53	06/01/2043	1
3138WV-KV-0	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		433	433	429	433	.0	.0	.0	.0	.0	433	.0	.0	.0	9	06/01/2043	1
3138WX-WH-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,619	2,619	2,592	2,618	.0	.1	.0	.1	.0	2,619	.0	.0	.0	52	07/01/2043	1
3138XQ-BE-0	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		107,282	107,282	112,629	108,019	.0	(737)	.0	(737)	.0	107,282	.0	.0	.0	2,154	04/01/2029	1
3138YF-E3-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		9,001	9,001	9,450	9,047	.0	(46)	.0	(46)	.0	9,001	.0	.0	.0	182	02/01/2030	1
3138YW-OY-0	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		15,842	15,842	16,690	15,047	.0	(137)	.0	(137)	.0	15,842	.0	.0	.0	324	07/01/2030	1
3140E2-R8-6	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		36,452	36,452	38,297	.0	.0	(98)	.0	(98)	.0	36,452	.0	.0	.0	456	10/01/2030	1
3140E9-AH-8	FNMA 30YR		09/01/2016	MBS PAYDOWN		285,382	285,382	298,373	.0	.0	(625)	.0	(625)	.0	285,382	.0	.0	.0	4,410	12/01/2045	1
31410F-Z2-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		30,071	30,071	29,639	30,011	.0	.60	.0	.60	.0	30,071	.0	.0	.0	995	07/01/2020	1
31416X-AL-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		151,589	151,589	160,862	152,583	.0	(994)	.0	(994)	.0	151,589	.0	.0	.0	4,053	11/01/2040	1
31416Y-YV-4	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		101,044	101,044	109,949	102,304	.0	(1,260)	.0	(1,260)	.0	101,044	.0	.0	.0	3,048	08/01/2041	1
31417C-H5-7	FED NTL MTG ASSO		09/30/2016	VARIOUS		6,888,955	6,621,855	6,772,916	6,780,970	.0	(19,548)	.0	(19,548)	.0	6,761,422	.0	127,533	127,533	155,465	07/01/2042	1
31417C-QQ-1	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		5,118	5,118	5,060	5,112	.0	.6	.0	.6	.0	5,118	.0	.0	.0	105	08/01/2042	1
31417C-QS-7	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		216	216	212	213	.0	.0	.0	.0	.0	213	.0	.0	.0	4	08/01/2042	1
31417D-4F-7	FNMA 30YR TBA		09/01/2016	MBS PAYDOWN		5,217	5,217	5,157	5,212	.0	.5	.0	.5	.0	5,217	.0	.0	.0	101	12/01/2042	1
31417E-CT-6	FED NTL MTG ASSO FNMA 30YR		09/01/2016	MBS PAYDOWN		2,543	2,543	2,517	2,541	.0	.2	.0	.2	.0	2,543	.0	.0	.0	47	12/01/2042	1
31417E-WF-4	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		57,439	57,439	58,911	57,548	.0	(105)	.0	(105)	.0	57,439	.0	.0	.0	1,169	02/01/2043	1
31417F-2P-2	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		45,563	45,563	46,603	45,647	.0	(81)	.0	(81)	.0	45,565	.0	.0	.0	912	04/01/2043	1
31417G-LW-4	FED NTL MTG ASSO		09/01/2016	MBS PAYDOWN		9,269	9,269	9,477	9,284	.0	(15)	.0	(15)	.0	9,269	.0	.0	.0	180	05/01/2043	1
31417G-MA-1	FED NTL MTG ASSO FNMA		09/01/2016	MBS PAYDOWN		5,591	5,592	5,533	5,584	.0	.7	.0	.7	.0	5,591	.0	.0	.0	112	05/01/2043	1
349515-TG-1	FORT WORTH TEX WTR & SWR REV MUNI		09/21/2016	WELLS FARGO		1,157,158	920,000	1,123,320	1,116,572	.0	(14,337)	.0	(14,337)	.0	1,102,235	.0	54,922	54,922	49,966	02/15/2025	1FE
57584X-FR-7	MASSACHUSETTS ST DEV FIN AGY R		09/13/2016	UBS SECURITIES		782,214	655,000	740,648	739,181	.0	(5,323)	.0	(5,323)	.0	733,858	.0	48,356	48,356	29,566	08/15/2032	1FE
646039-VK-0	NEW JERSEY ST		09/13/2016	RBC CAPITAL MARKETS		5,552,756	4,685,000	5,438,161	5,373,900	.0	(45,107)	.0	(45,107)	.0	5,328,792	.0	223,964	223,964	185,448	06/01/2031	1FE
79642B-W6-6	SAN ANTONIO TEX WTR REV MUNI		09/21/2016	MORGAN STANLEY		2,119,430	1,765,000	2,037,251	2,032,783	.0	(18,344)	.0	(18,344)	.0	2,014,440	.0	104,990	104,990	76,238	05/15/2035	1FE
93974D-RQ-3	WASHINGTON ST FOR ISSUED DTD MUNI		09/13/2016	FENNER & SM		1,004,308	830,000	949,147	947,242	.0	(7,503)	.0	(7,503)	.0	939,739	.0	64,569	64,569	38,964	08/01/2039	1FE
3199999	Subtotal - Bonds - U.S. Special Revenues					117,954,142	110,508,203	117,200,645	112,415,987	0	(720,566)	0	(720,566)	0	116,194,128	0	1,760,015	1,760,015	2,840,130	XXX	XXX
05946X-BV-4	BANK OF AMERICA FDG CO 2003-1		09/20/2016	CALLED SECURITY at 100.000		231	231	236	235	.0	(4)	.0	(4)	.0	231	.0	.0	.0	9	05/20/2033	1FE
059500-AD-0	BACM_06-3 CMBS		09/12/2016	CALLED SECURITY at 100.000		149,744	149,744	167,895	176,847	.0	(27,103)	.0	(27,103)	.0	149,744	.0	.0	.0	5,204	07/10/2044	1FM
07388R-AF-4	BEAR STEARNS CO.	CMBS	09/12/2016	100.000		47,103	47,103	52,119	51,941	.0	(4,838)	.0	(4,838)	.0	47,103	.0	.0	.0	1,820	02/01/2044	1FM
084670-BR-8	BERKSHIRE HATHAWAY	CORPORATE	08/16/2016	WELLS FARGO		3,286,188	3,165,000	3,156,391	.0	.442	.0	.442	.0	.0	3,156,833	.0	129,355	129,355	37,233	03/01/2023	1FE
09062X-AF-0	BIOGEN INC	CORPORATE	09/21/2016	VARIOUS		1,534,079	1,420,000	1,416,649	1,416,659	.0	259	.0	259	.0	1,416,918	.0	117,160	117,160	59,267	09/15/2025	2FE
151020-AQ-7	CELGENE CORPORATION	CORPORATE	09/06/2016	CREDIT SUISSE FIRST BOSTON CORP		1,533,726	1,474,000	1,472,901	1,472,955	.0	153	.0	153	.0	1,473,108	.0	60,619	60,619	45,556	08/15/2020	2FE
165182-BR-6	CF 15-1A: A	ABS FTST	09/07/2016	CALLED SECURITY at 100.000		689,730	689,730	689,730	689,730	.0	.0	.0	.0	.0	689,730	.0	.0	.0	4,314	02/07/2027	1FE
20030N-BR-8	COMCAST CORP	CORPORATE	09/08/2016	MORGAN STANLEY		1,657,811	1,595,000	1,624,842	.0	.0	(1,808)	.0	(1,808)	.0	1,623,035	.0	34,776	34,776	24,368	03/01/2023	1FE
20173Q-AE-1	GCCFC 07-GC9	CMBS	09/12/2016	VARIOUS		896,674	896,674	1,017,596	979,479	.0	(82,806)	.0	(82,806)	.0	896,675	.0	.0	.0	35,211	03/10/2039	1FM
20173W-AF-5	CMILT	CMBS	08/30/2016	VARIOUS		2,278,899	2,179,903	2,475,723	2,581,362	.0	9,168	.0	9,168	.0	2,590,530	.0	(311,631)	(311,631)	89,381	12/01/2049	1FM
22545L-AD-1	CSMC 06-05 CMBS		09/16/2016	CALLED SECURITY at 100.000		1,942,515	1,942,515	2,106,415	2,094,186	.0	(151,671)	.0	(151,671)	.0	1,942,515	.0	.0	.0	69,234	12/15/2039	1FM



STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2		3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
											11	12	13	14	15							
CUSIP Identification	Description		For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog- nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received During Year	Stated Con- tractual Maturity Date	NAIC Desig- nation or Market In- dicator (a)
34528Q-CV-5	FORD F 13-5-A1	ABS FTST		09/15/2016	CALLLED SECURITY at 100.000		14,195,000	14,195,000	14,254,885	14,236,856	.0	(41,856)	.0	(41,856)	.0	14,195,000	.0	.0	.0	159,694	09/15/2018	1FE
375558-AY-9	GILEAD SCIENCES INC	CORPORATE		08/17/2016	BNP PARIBAS		5,967,285	5,795,000	5,838,173	5,833,180	.0	(5,772)	.0	(5,772)	.0	5,827,407	.0	139,878	139,878	144,126	02/01/2020	1FE
40428H-PV-8	HSBC BANK USA	CORPORATE		08/16/2016	HSBC SECURITIES INC.		6,667,981	6,545,000	6,539,240	6,539,573	.0	755	.0	755	.0	6,540,328	.0	127,652	127,652	185,987	08/07/2020	1FE
430706-BL-5	HOME DEPOT	CORPORATE		09/08/2016	BNY MELLON CAPITAL MARKETS LLC		916,398	900,000	896,796	.0	.0	356	.0	356	.0	897,152	.0	19,246	19,246	10,550	04/01/2021	1FE
460690-BK-5	INTERPUBLIC GROUP	CORPORATE		09/09/2016	J.P. MORGAN		965,108	925,000	922,216	923,025	.0	178	.0	178	.0	923,203	.0	41,905	41,905	37,482	02/15/2023	2FE
46625H-NX-4	JP MORGAN CHASE & CO	CORPORATE		09/08/2016	J.P. MORGAN		1,837,152	1,800,000	1,798,146	1,798,173	.0	252	.0	252	.0	1,798,425	.0	38,727	38,727	40,035	10/29/2020	1FE
46629G-AE-8	JP MORGAN COM MTG 2006-C1BC16			07/12/2016	CALLLED SECURITY at 100.000		384,913	384,913	386,826	386,899	.0	(1,986)	.0	(1,986)	.0	384,913	.0	.0	.0	12,466	05/01/2045	1FM
46629P-AC-2	JPMCC 06-LDP9	CMBS		09/15/2016	CALLLED SECURITY at 100.000		4,884,311	4,884,311	5,589,483	5,560,924	.0	(676,613)	.0	(676,613)	.0	4,884,311	.0	.0	.0	187,270	05/01/2047	1FM
46629Y-AC-3	JPMORGAN CHASE 07-CB18	CMBS		09/12/2016	VARIOUS		689,003	689,003	786,756	768,646	.0	(79,642)	.0	(79,642)	.0	689,003	.0	.0	.0	27,296	06/01/2047	1FM
46630J-AC-3	JP MORGAN CHASE	CMBS		07/19/2016	VARIOUS		2,732,091	2,693,457	3,096,003	3,080,728	.0	(3,692)	.0	(3,692)	.0	3,077,036	.0	(344,946)	(344,946)	93,648	01/01/2049	1FM
46632H-AG-6	JPMCC 07-LD12	CMBS		09/15/2016	CALLLED SECURITY at 100.000		95,963	95,963	109,286	108,981	.0	(13,017)	.0	(13,017)	.0	95,963	.0	.0	.0	3,429	02/01/2051	1FM
478160-BY-9	JOHNSON & JOHNSON	CORPORATE		08/17/2016	CREDIT SUISSE FIRST BOSTON CORP.		1,364,642	1,320,000	1,318,139	.0	.0	74	.0	74	.0	1,318,213	.0	46,430	46,430	15,362	03/01/2026	1FE
494368-BU-6	KIMBERLY-CLARK	CORPORATE		09/07/2016	U.S. BANCORP INVESTMENTS, INC		674,367	645,000	642,601	.0	.0	107	.0	107	.0	642,707	.0	31,659	31,659	9,854	02/15/2026	1FE
50179A-AE-7	LB-UBS CMBS 2007-C1			09/16/2016	CALLLED SECURITY at 100.000		779,719	779,719	864,391	858,100	.0	(78,381)	.0	(78,381)	.0	779,719	.0	.0	.0	25,141	02/11/2040	1FM
50180J-AD-7	LBUBS 07-C2	CMBS		09/16/2016	CALLLED SECURITY at 100.000		507,476	507,476	552,792	550,718	.0	(43,243)	.0	(43,243)	.0	507,476	.0	.0	.0	18,376	02/15/2040	1FM
532457-BH-0	ELI LILLY AND COMPANY	CORPORATE		09/08/2016	GOLDMAN SACHS		885,225	835,000	833,388	833,473	.0	91	.0	91	.0	833,564	.0	51,661	51,661	17,987	06/01/2025	1FE
60687V-AF-2	MLCFC 06-3	CMBS		08/30/2016	CALLLED SECURITY at 100.000		1,231,934	1,231,934	1,358,207	1,356,511	.0	(124,577)	.0	(124,577)	.0	1,231,934	.0	.0	.0	41,283	07/01/2046	1FM
61750W-AS-2	MSC-99	CMBS		09/15/2016	CALLLED SECURITY at 100.000		1,266,957	1,266,957	1,394,940	1,390,018	.0	(123,060)	.0	(123,060)	.0	1,266,957	.0	.0	.0	48,456	12/01/2043	1FM
61751N-AB-8	MSC 07-HQ11			09/14/2016	VARIOUS		78,855	78,855	86,263	85,934	.0	(7,079)	.0	(7,079)	.0	78,855	.0	.0	.0	2,630	02/01/2044	1FM
61756U-AE-1	MSC-99	CMBS		07/29/2016	VARIOUS		3,701,092	3,571,808	4,230,081	4,207,310	.0	(5,222)	.0	(5,222)	.0	4,202,088	.0	(500,996)	(500,996)	133,104	12/01/2049	1FM
651229-AV-8	NEWELL RUBBERMAID INC	CORPORATE		09/06/2016	JEFFERIES		4,428,227	4,140,000	4,138,717	.0	.0	(8)	.0	(8)	.0	4,138,709	.0	289,518	289,518	70,397	04/01/2023	2FE
68217F-AA-0	OMNICO GROUP INC	CORPORATE		09/07/2016	MERRILL LYNCH, PIERCE, FENNER & SM		2,077,959	1,950,000	1,948,187	.0	.0	28	.0	28	.0	1,948,215	.0	129,744	129,744	30,420	04/15/2026	2FE
69353R-EP-9	PNC BANK NA	CORPORATE		08/16/2016	WELLS FARGO		6,138,840	6,000,000	5,986,200	5,987,672	.0	1,640	.0	1,640	.0	5,989,312	.0	149,528	149,528	98,900	06/01/2020	1FE
69353R-EU-8	PNC BANK NATIONAL ASSOCIATION	CORPORATE		09/09/2016	J.P. MORGAN		903,373	885,000	884,416	884,419	.0	79	.0	79	.0	884,498	.0	18,875	18,875	18,731	11/05/2020	1FE
742718-EP-0	PROCTOR & GAMBLE CO	CORPORATE		09/06/2016	MIZUHO SECURITIES USA INC.		929,350	880,000	876,788	.0	.0	158	.0	158	.0	876,945	.0	52,406	52,406	14,322	02/02/2026	1FE
780082-AE-3	ROYAL BANK OF CANADA	CORPORATE		08/16/2016	CITIGROUP GLOBAL MARKETS INC		5,122,800	5,000,000	4,996,500	.0	.0	221	.0	221	.0	4,996,721	.0	126,079	126,079	46,958	03/22/2021	1FE
834017-AB-1	SOFI	ABS FTST		09/26/2016	VARIOUS		142,083	142,084	142,064	141,686	.0	300	.0	300	.0	142,048	.0	35	35	3,015	09/25/2032	1FE
871829-BA-4	SYSCO CORP	CORPORATE		09/20/2016	U.S. BANCORP INVESTMENTS, INC		726,870	710,000	709,631	.0	.0	6	.0	6	.0	709,637	.0	17,233	17,233	8,481	07/15/2021	2FE
907818-ED-6	UNION PACIFIC CORP	CORPORATE		09/06/2016	MERRILL LYNCH, PIERCE, FENNER & SM		1,364,176	1,265,000	1,297,022	1,296,536	.0	(2,025)	.0	(2,025)	.0	1,294,511	.0	69,666	69,666	50,248	08/15/2025	1FE
92826C-AB-8	92826CAB8	CORPORATE		08/17/2016	WELLS FARGO		2,659,811	2,585,000	2,582,802	2,582,809	.0	245	.0	245	.0	2,583,056	.0	76,755	76,755	39,177	12/14/2020	1FE
92978N-AE-4	WBCMT 07-C33	CMBS		09/16/2016	CALLLED SECURITY at 100.000		244,905	244,905	268,630	267,721	.0	(22,816)	.0	(22,816)	.0	244,905	.0	.0	.0	8,886	02/01/2051	1FM
92978P-AF-6	WBCMT 03	CMBS		09/16/2016	CALLLED SECURITY at 100.000		401,367	401,367	442,053	440,946	.0	(39,578)	.0	(39,578)	.0	401,367	.0	.0	.0	14,864	11/01/2048	1FM
06367X-F3-0	BANK OF MONTREAL	AGCY FTST	I	08/09/2016	MERRILL LYNCH, PIERCE, FENNER & SM		7,876,051	7,855,000	7,813,918	.0	.0	1,175	.0	1,175	.0	7,815,093	.0	60,958	60,958	21,765	06/15/2021	1FE
780082-AC-7	ROYAL BANK OF CANADA	CORPORATE	A	08/16/2016	CITIGROUP GLOBAL MARKETS INC		5,088,650	5,000,000	4,998,350	4,998,350	.0	209	.0	209	.0	4,998,559	.0	90,091	90,091	88,958	10/14/2020	1FE
00084D-AJ-9	ABN AMRO N AMERICA	CORPORATE	F	09/09/2016	J.P. MORGAN		1,549,169	1,520,000	1,517,872	1,517,888	.0	304	.0	304	.0	1,518,193	.0	30,976	30,976	28,964	06/04/2020	1FE
3899999. Subtotal - Bonds - Industrial and Miscellaneous (Unaffiliated)							103,495,803	101,282,652	104,282,259	76,100,470	0	(1,520,597)	0	(1,520,597)	0	102,702,444	0	793,359	793,359	2,129,859	XXX	XXX
8399997. Total - Bonds - Part 4							266,610,836	253,342,245	266,031,296	212,103,462	0	(2,495,471)	0	(2,495,471)	0	262,955,590	0	3,655,247	3,655,247	5,977,367	XXX	XXX

STATEMENT AS OF SEPTEMBER 30, 2016 OF THE Humana Health Plan Inc.

SCHEDULE D - PART 4

Show All Long-Term Bonds and Stock Sold, Redeemed or Otherwise Disposed of During the Current Quarter

1	2	3	4	5	6	7	8	9	10	Change In Book/Adjusted Carrying Value					16	17	18	19	20	21	22
										11	12	13	14	15							
CUSIP Ident- ification	Description	For- eign	Disposal Date	Name of Purchaser	Number of Shares of Stock	Consid- eration	Par Value	Actual Cost	Prior Year Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amor- tization)/ Accretion	Current Year's Other Than Temporary Impairment Recog- nized	Total Change in Book/ Adjusted Carrying Value (11 + 12 - 13)	Total Foreign Exchange Change in Book /Adjusted Carrying Value	Book/ Adjusted Carrying Value at Disposal Date	Foreign Exchange Gain (Loss) on Disposal	Realized Gain (Loss) on Disposal	Total Gain (Loss) on Disposal	Bond Interest/ Stock Dividends Received DuringYear	Stated Con- tractual Maturity Date	NAIC Desig- nation or Market In- dicator (a)
8399998. Total - Bonds - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8399999. Total - Bonds						266,610,836	253,342,245	266,031,296	212,103,462	0	(2,495,471)	0	(2,495,471)	0	262,955,590	0	3,655,247	3,655,247	5,977,367	XXX	XXX
8999997. Total - Preferred Stocks - Part 4						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
8999998. Total - Preferred Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
8999999. Total - Preferred Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9799997. Total - Common Stocks - Part 4						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9799998. Total - Common Stocks - Part 5						XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
9799999. Total - Common Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9899999. Total - Preferred and Common Stocks						0	XXX	0	0	0	0	0	0	0	0	0	0	0	0	XXX	XXX
9999999 - Totals						266,610,836	XXX	266,031,296	212,103,462	0	(2,495,471)	0	(2,495,471)	0	262,955,590	0	3,655,247	3,655,247	5,977,367	XXX	XXX

(a) For all common stock bearing the NAIC market indicator "U" provide: the number of such issues.....0

Schedule DB - Part A - Section 1 - Options, Caps, Floors, Collars, Swaps and Forwards Open  
**N O N E**

Schedule DB - Part B - Section 1 - Futures Contracts Open  
**N O N E**

Schedule DB - Part B - Section 1B - Brokers with whom cash deposits have been made  
**N O N E**

Schedule DB - Part D - Section 1 - Counterparty Exposure for Derivative Instruments Open  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged By  
**N O N E**

Schedule DB - Part D-Section 2 - Collateral for Derivative Instruments Open - Pledged To  
**N O N E**

Schedule DL - Part 1 - Reinvested Collateral Assets Owned  
**N O N E**

Schedule DL - Part 2 - Reinvested Collateral Assets Owned  
**N O N E**

SCHEDULE E - PART 1 - CASH

Month End Depository Balances

1	2	3	4	5	Book Balance at End of Each Month During Current Quarter			9
					6	7	8	
					First Month	Second Month	Third Month	
Depository	Code	Rate of Interest	Amount of Interest Received During Current Quarter	Amount of Interest Accrued at Current Statement Date				*
WELLS FARGO ..... Atlanta , GA .....		0.000	0	0	(22,013,827)	(20,985,190)	(22,628,210)	XXX
BB&T ..... Louisville, KY .....		0.000	0	0	1,502,403	1,327,775	1,793,989	XXX
CITIBANK ..... New Castle , DE .....		0.000	0	0	8,337,181	6,964,223	6,146,153	XXX
FIFTH THIRD ..... Nashville .....		0.000	0	0	941,090	1,540,142	1,557,732	XXX
JP MORGAN CHASE ..... New York , NY .....		0.000	0	0	5,751,223	3,588,259	6,399,709	XXX
US BANK ..... St. Louis,MO .....		0.000	0	0	0	254	1,497,630	XXX
COMMUNITY T&B CO ..... CERT DEPOS .....		0.600	0	0	250,000	250,000	0	XXX
COMMONWEALTH BANK & TRUST ..... CERT DEPOS .....		0.500	315	10	250,000	250,000	250,000	XXX
COMMUNITY T&B CO ..... CERT DEPOS .....		0.350	0	51	0	0	250,000	XXX
Interest Received During Quarter on Disposed Holdings .....		0.000	996	0	0	0	0	XXX
0199998. Deposits in ... 0 depositories that do not exceed the allowable limit in any one depository (See instructions) - Open Depositories	XXX	XXX	0	0	0	0	0	XXX
0199999. Totals - Open Depositories	XXX	XXX	1,311	61	(4,981,929)	(7,064,537)	(4,732,997)	XXX
0299998. Deposits in ... 0 depositories that do not exceed the allowable limit in any one depository (See instructions) - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0299999. Totals - Suspended Depositories	XXX	XXX	0	0	0	0	0	XXX
0399999. Total Cash on Deposit	XXX	XXX	1,311	61	(4,981,929)	(7,064,537)	(4,732,997)	XXX
0499999. Cash in Company's Office	XXX	XXX	XXX	XXX	0	0	0	XXX
.....								
.....								
.....								
0599999. Total - Cash	XXX	XXX	1,311	61	(4,981,929)	(7,064,537)	(4,732,997)	XXX

## SCHEDULE E - PART 2 - CASH EQUIVALENTS

Show Investments Owned End of Current Quarter

[illegible]